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ABSTRACT

Presentations on NCIP (North American Collections Inventory Project) program developments and future program directions are combined with business meeting minutes in this report from the Association of Research Libraries (ARL). The text of remarks presented as part of a panel discussion on the program theme includes: (1) "Development and Use of the RLG (Research Libraries Group) Conspectus" (David H. Stam); (2) "NCIP in the United States" (Robert C. Miller); (3) "NCIP in Canada" (Marianne Scott); (4) "Internal Uses of the RLG Conspectus" (Anthony W. Ferguson); and (5) "The Conspectus: Issues and Questions" (Millicent D. Abell). In addition, brief reports on group discussions of concerns relating to the NCIP are presented by Donald Koepp, Irene B. Hoadley, Charles E. Miller, David Bishop, and Susan Cote. Business meeting coverage includes reports from the President's Task Force on Membership Criteria, the Executive Director, the Office of Management of Studies, and the President. Reports on the following activities are also presented: (1) the ARL Recon (Retrospective Conversion) Project; (2) the ARL Library Index; (3) the Library of Congress DEZ (diethyl gas diffusion) Project; (4) the Library of Congress Cooperative Cataloging Project; and (5) the Council on Library Resources Commission on Preservation and Access. Appendices provide background information on the NCIP; an ARL activities and status report; an OMS (Office of Management Studies) status report; and lists of meeting participants, members of the ARL board, task forces and committees, and member libraries. (KM)

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October 22-23, 1986
Washington, D.C.

Minutes of the 109th Meeting

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NCIP: Means To An End

Minutes of the 109th Meeting

October 22-23, 1986
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ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 109th Meeting

Anne Woodsworth, Presiding

The 109th Membership Meeting of the Association of Research Libraries was held at the Omni Georgetown Hotel, October 22-23, 1986. Session I of the Business Meeting convened on Wednesday, October 22. The program session, "NCIP: Means to an End," took place on Thursday, October 23, followed by Session II of the Business Meeting.

INTRODUCTION

Elaine F. Sloan
Indiana University

MS. SLOAN: The topic of this program is "NCIP: Means to an End." We had originally planned to put a question mark at the end of the title. Though we decided to eliminate the question mark, we hope, in fact, to raise some questions and issues that will serve us in the future.

The program has a two-fold objective. First, it is going to bring the Association, the directors, up-to-date on the developments that have occurred in the past few years. As the hand-out that you received indicates, about 85 % of the institutions report that they have participated in NCIP. It seemed timely to us to inform you of the progress and the issues that have arisen during this time.

The second objective is to look towards the future, to advise both the NCIP Advisory Committee, whose members are present, and the Collection Development Committee on a future direction for this program.

The panel which begins the program will focus principally on the first objective; that is, to inform us on progress and issues that have arisen. Each of the panelists is well prepared to do that because each has participated in the development of the conspectus or NCIP. Then, the two speakers who will conclude the formal part of the program will look at uses of the Conspectus and future plans for NCIP.

DEVELOPMENT AND USE OF THE RLG CONSPECTUS

David H. Stam
Syracuse University Libraries

MS. SLOAN: Our first panelist is David Stam, University Librarian at Syracuse University. David served for seven years as the Chair of RLG's Collection Management and Development Committee, and he will begin this morning with the RLG experiences.

MR. STAM: Good morning, everyone. Some of you may sense the irony I feel in being here representing some events that went on in another life for me at RLG. Since I have left that august body to move to another institution not associated with it, you can appreciate that I will have utter detachment and absolute objectivity on what RLG did.

I cannot help but reflect on yesterday's Business Meeting which involved, apart from the publication of the index, some criteria for membership in this organization. I was reminded of some arguments we had in RLG a number of years ago about what were the smallest libraries we could possibly let into RLG. We came to the determination that we could not possibly afford to have any members whose collections were smaller than the backlogs at NYPL. Of course, those backlogs, in fact, paled in significance in comparison to the Library of Congress' backlogs, which would have the highest conspectus figure in the entire group for a category known as books in unidentified languages.

I thought I had said all I ever wanted to say on the subject of today's panel in a speech on the development of the Conspectus I was asked to give at the 1985 IFLA meeting in Chicago. When Elaine asked me to participate today, I thought I could rehash some of that. But as I thought about it, I realized that there was a bit more that I could share with you which has not been widely shared. I want to call it "an informal secret history of the Conspectus."

I have been charged, or honored, with playing a role in the parentage of the tool as chair of the oversight committee. But if any of you want to file paternity suits, they should be addressed to David Weber, who, in a fit of some kind of irresponsibility at the very first meeting of RLG II, as we came to call it--Roman numerals, like the Super Bowl--suggested that all the chairs of the major committees should be directors of libraries. That had not been the case before Stanford joined us and, out of the blue, David suggested that I take on the Collection Management and Development Committee.

I was not very well qualified for it. I played hard-to-get for awhile, but by April 1979 I had agreed to serve. He also suggested his own colleague, Paul Mosher, as the vice chairman of the committee. It was Paul who brought from his medieval historical background the term "Conspectus," which we stuck with and which now, much to our amazement, has become a subject of virtually worldwide discussion.

The real secret of this history is that the Conspectus was developed by a group of subversives—collection development officers. Originally, in the early part, it was a very small group of four members; Harvard had pulled out at that time, Stanford had joined us. As a director, I was the only authority figure among the group, and not a very threatening one at that. We became a group of highly motivated people who wanted to get something done. Our first meeting was at the New York Public Library in September of 1979, and our second meeting at Yale in the spring of 1980. I remember very clearly Paul saying, after that New Haven meeting, "I don't care whether anything ever comes of it; I think it's worth a try and it will cause some ferment just talking about it."

Believe me, it was amazing to us as it developed that it got so much attention. I have some theories that I will try to get to about how that attention has shifted in its focus over the years, but I just want to say that it was a very dedicated group of people, many of whom were not really letting their directors know much about what we were doing, certainly not letting them know what kind of staff resources were being demanded by this project. I am not sure all my former RLG colleagues will appreciate this element in my talk, but these people just went ahead, getting into the bread-and-butter issues of their collection development lives in a way that was, for me, one of the most satisfying professional experiences of my life.

It was a fantastic group of people. I cannot name them all. Tony Ferguson, who will speak later, joined us after the third meeting, I believe, and he will, too, attest to the vitality of that group. There was a camaraderie, an esprit de corps, a commitment to pursuing the goal. I should have mentioned earlier--I believe I said it in my article--that we were building on a lot of work that had gone before in various Association of College and Research Libraries (ACRL) and American Library Association (ALA) groups, including the Resources and Technical Services Division (RTSD). But it was somehow the confluence of the development of RLG and the kind of institutional commitment that membership meant and its transferring down to the ranks that made it, if not successful--that is for you to determine--certainly a very vital part of the library world.

The second development, of course, was the involvement of that RLG group with ARL's Collection Development Committee. It started with a task force of which Bob Miller, Warren Kuhn, Elaine Sloan, Marianne Scott, and John Finzi from the Library of Congress were all members. The task force began its work in 1980, and it was at the ACRL meeting in Minneapolis in 1981 that I was invited to come along as chair of the RLG committee to talk about whether ARL would develop some methodology of its own or go with what we had worked on.

I have to say very frankly that some of us saw the conspectus as a tool that might help bridge the very unfortunate gaps that had developed, if I may say so, during that period in the RLG/OCLC wars, wars or conflicts and tensions that this Association has felt over a period of time, and which, in my personal opinion, I still view as wasteful and unnecessary. But we saw the Conspectus as a way of helping to bridge some of those gaps. Again, it is up to you to decide whether it has been successful. My own view is that it has been partially successful in helping to do bring us close together.

One of the issues that was debated in developing the agreements on whether we would merge that effort into what we now see as the North American Collections Inventory Project (NCIP) was how big a conspectus we needed. At that time, pretty early on, we believed that, using the LC schedules, we would probably end up with about 2,000 categories. As you know from the background material, it is up to 7,000 categories now; when I wrote my speech a year-and-a-half ago, it was 5,800. Subjects keep proliferating. But we were really debating how big it should be, and I have another personal recollection of that debate.

It was during a ride that John Finzi, Paul Mosher, and I took from Stanford to Berkeley for one of our meetings there, around 1981. In the course of the ride, we did a universal conspectus for our three institutions, LC, Stanford, and NYPL. We completed it in 15 minutes, just about the length of the Bay Bridge. We had made a chart that had in the vertical axis the categories of the Dewey classification and in the horizontal axis, our libraries. We filled in 4's, 5's, and 4F's, and so forth. There was one footnote. Under LC's claim of 5F status for fiction, it said "Tibetan 2Y." People have been hunting for conspectus jokes, because it is such a solemn tool. I think back on all of the laughter we had there and, again, it is rather amazing to us that it has been taken so seriously.

The Conspectus really is getting a lot of international attention. In September, I attended an in-house seminar at the British Library dealing with the Conspectus. A few weeks from now, there will be an all-day seminar on the Conspectus in which SCONUL and the British Library are involved. (The English, by the way, never use the definite article. It is always "Conspectus," not "the Conspectus.")

The reflection I have about this development--and I really do have a serious point here--is that when we were working on it as small groups, self-motivated, we really got a lot done. The carping and the criticism started when it began to be imposed bureaucratically from the top. There are a number of people here who can make some reflections on that. The meeting at the British Library last September included all of the selection officers of that institution who were willing to come. Some were too critical or apathetic to even bother to come; and for others, some of the tension was palpable. I believe it was because the institution is absolutely committed that for itself and for the nation there is going to be a conspectus, and they are hitting some problems in that bureaucratic imposition. I suspect Max Weber could have contributed something to a sociological study of this subject, but I am not prepared to do it. Marianne Scott will have some comments about the Canadian experience in that respect.

Just a couple of concluding thoughts. In my experience, the real benefits have not yet been in what was ostensibly the initial reason for developing the Conspectus, that is, resource-sharing. For most of the period, the crunch was not on, although there are reasons to think so. The assignments, as you all know, the primary collecting responsibilities (PCR's), have been in relatively minor areas, and so forth. The real benefits have been local, and I believe Tony Ferguson will expand on that.

My fear for the last two years of my involvement and responsibility for the program was that the tool was being asked to carry a much heavier burden than it was ever designed to carry. It was seen as a panacea for all of our woes and it was going to answer the problem of shared resources and distribution of preservation responsibilities and, of course, of shared cataloging. I still believe that it can make some contribution in those areas, but it certainly is not the panacea for all of that.

I am reminded of a story. It is one of Borgese's stories about the College of

Cartographers that was so enamoured of its trade that it wanted to create a map which was an exact one-to-one representation of the thing it was mapping. They spent a lot of effort in creating the map, but they soon came to find that it was not useful, and traces of the relics of the map were left in the desert.

The Conspectus was not intended to be a bibliographic database of all of our collections. It was intended to give a composite picture in a general way of what we were doing in our libraries, and in that respect, I believe it has done its job. We had wonderful debates that were sort of a microcosm of the eternal debate over perfectionism and pragmatism in libraries. The perfectionists never won with us, but they were always represented. I suspect they continue to be represented.

I hope that little bit of our secret history is helpful for the deliberations of the day.

NCIP IN THE UNITED STATES

Robert C. Miller
University of Notre Dame

MS. SLOAN: As David mentioned, in 1981 ARL became interested in the use of the Conspectus. Bob Miller was present from the beginning, participated in the Indiana phase of NCIP, and is the current chair of the Collection Development Committee. Bob will talk about NCIP in the United States.

MR. MILLER: ARL's involvement with the Conspectus began in 1980, with the establishment of the Task Force on Collection Development, which was charged with exploring means to effect more national cooperation in collection development. A variety of tools were considered. There was substantial discussion about different kinds of approaches. After two or three meetings it was decided that a test was needed, and that the most promising tool around at that point was the online conspectus approach developed by the Research Libraries Group. Funding was obtained for the first phase test to see whether there were problems with that approach. In 1982, the libraries at the Universities of Cincinnati, Iowa, Manitoba, Notre Dame, and Wisconsin--it was already an international exercise--began with tests in the fields of philosophy, theology, chemistry, and economics.

There were no problems with the Conspectus--would that that were true! In fact, one of the great things about it is there were lots of problems. We encountered them every time we turned around. And yet the problems we saw there were nothing really new, nothing that RLG and anyone who had been involved in collection development did not know about. There were problems with definitions of terms, with the appropriateness of breakdowns and classification. But despite the various problems, the participants were convinced that it was a very good approach for what we were trying to achieve, which was some kind of national tool, and the task force agreed.

Some time during the intervening years, the task force became the ARL Committee on Collection Development. In 1982, funding was obtained for a second phase to test the development of various tools for work on the Conspectus. Three libraries—Indiana, Notre Dame, and Purdue--agreed to test those training tools and also to see whether regional, statewide programs might be developed based on the Conspectus.

Needless to say, we encountered many problems. We imposed, or at least I imposed the Conspectus on a staff which was sometimes not terribly eager--in fact, usually not terribly eager. They encountered problems. We hashed them out and agreed that despite those problems, the tools that were developed by OMS staff were useful, and overall the experience was useful. We recommended, therefore, and the committee recommended, that we go forth.

Then, in 1985, came phase three, which was to expand the Conspectus throughout the Association. As a matter of fact, phase three was a bit after the fact because everyone had heard what fun the Conspectus was. They heard about all those nice parties and about the problem-free collection development tool. The major problem, from what Jeff has told me, was keeping everyone away from the Conspectus until it could be done in a concrete and organized fashion.

At this point, as the materials that you received have shown, the NCIP Conspectus is used widely. There are, by my way of thinking, four elements to NCIP and the approach. First, is the Conspectus itself, which is in some sense a local tool. Individual institutions can develop it and do what they want with it to describe their collections. More important is the national phase, the national online tool to describe collections in a common fashion. Third, are the training programs that are critical. Finally, there is the organization and management structure for NCIP. Each of these is very important and each is going to need attention in the months and years ahead.

I would like to give you two sets of observations, one general on some of the problems as I see them, and the second on what we need for the future. The first observation I have mentioned several times. There are problems with the Conspectus; it is not a perfect tool. Bibliographers, like most librarians, are perfectionists and are reluctant to accept someone else's framework, someone else's tools. Yet I believe that with appropriate incentives and with the successful experience of libraries, it can and will be completed.

It does require management commitment, however, and commitment in more than just words. As my chief collection development officer keeps telling me, "if you want to finish, give me some staff so I can finish." It does require that kind of management commitment. I observed over time that if the job is going to be done well, it is going to require a lot more time and effort than it appeared at first. But, it is important and will be useful in the long run.

The Conspectus is useful, from my perspective--and Notre Dame has a small, developing library; just like our football team, we are developing and we need help--for several reasons. It is very useful within the institution in explicating what is being done both in the library and by the institution as a whole. It is also important locally for the training that it provides. As a developing institution, we need a focused training program, a focused effort, and NCIP provided that to us. Also, NCIP is most effectively done on a multi-institutional basis. We got far more out of NCIP by working with Purdue and Indiana than we would have by going it alone. The training, the communication, the work that we have been able to do together has been very useful, and whereas before NCIP the collection development officers at the three institutions did not even know each other, they are now on the phone to each other on conference calls on a regular basis. Fortunately, we have a toll-free state network, so they can talk at length and I do not have to pay the bills for it.

Finally, the Conspectus is a tool and, in itself, it is not going to make for greater cooperation in collection development or any other area. But it is a technical tool, and provides a common experience that can aid collection development cooperation--that is what we have experienced in Indiana.

What about the future? I see a variety of things that are needed. There is a need for greater institutional commitment for the completion of the Conspectus by institutions that are already participating in the program, and here I put myself at the head of the list. We do need more commitment from me and my institution to complete it.

We need broader participation within ARL and other research libraries, such as the members of the Independent Research Libraries Association. We need, and I believe this is very important, greater knowledge of, support for, and involvement in the Conspectus program on the part of local faculty and administration. If it is going to be successful, it cannot be just a library tool. It must involve the university as a whole. It is very important that we develop broader support from outside the library community. Organizations such as the Association of American Universities, the American Council of Learned Societies, the regional and area studies organizations, need to know about--and we should get support from them in the development and refinement of--the Conspectus.

We need to have further refinement of the Conspectus and some of the other supporting tools, such as supplementary guidelines and verification studies. We need to have, I believe very strongly, a forum for participants in NCIP, which would structure input into the whole process, provide an exchange of common experience, and provide an opportunity to give greater direction on policy from those libraries who are making the commitment to it.

Lastly, I believe we need to develop a structure that will make NCIP an ARL tool. We need to consider issues of management and financing in the long range. We have been living on grants; that cannot go on forever. Eventually, ARL will have to make a decision as to whether the Conspectus and NCIP are going to be a tool and a program which we will support as an organization or whether they will be modest operating appendages.

Over the past eight or nine years, the Conspectus has been worked on first in RLG, and then in a variety of other ARL libraries. There has been a fair amount of grant money, but not nearly enough. There has been much institutional effort, but probably not enough. There has been one heck of a lot of blood, sweat, and I suspect sometimes tears from participants in OMS, in RLG libraries, and in the other libraries. It has brought NCIP to where it is today.

Ironically, the principal uses of NCIP, the most effective ones to date, I believe, have been in areas other than collection development, such as cooperative retrospective conversion and preservation programs. It remains to make it work in collection development as well, as we have shown it can in Indiana, and as there are many other examples throughout the country. There is no doubt in my mind that from both the institutional standpoint and from a national perspective NCIP is well worth the effort, despite its very human characteristic; that is, it has a lot of problems.

NCIP IN CANADA

Marianne Scott
National Library of Canada

MS. SLOAN: To speak to us about the Canadian experience is Marianne Scott, of the National Library of Canada.

MS. SCOTT: Thank you, Elaine.

I am going to take a slightly different approach because, as is sometimes the case, the detail of what is happening north of the border is not as well known by all our colleagues. Therefore, I shall take this opportunity to tell you about what we have been doing with respect to Conspectus, and to fit it into the framework of our national plan.

The National Library has a mandate to promote and facilitate the use of libraries and their services and resources across the country.

During the period 1979 through 1984, as far as Conspectus was concerned, the National Library was thinking about all the issues relating to resource sharing. The National Library has an Advisory Board that, in 1981, set up a Resource Network Committee to look at all the issues related to resource sharing and, in particular, the issue of interlibrary loan. The Committee came to the conclusion that holdings of Canadian libraries collectively formed a national resource, and that there was not enough information about that resource to achieve our goal of effective resource sharing through interlibrary loan. In its report called "Interlending in Canada," the committee recommended that collection inventories be undertaken.

This background shows you the parallel thinking that was going on north of the border. Overall, the document, "Interlending," and further deliberation, consultation, and refinement culminated in the national plan for collections inventories. We were fortunate, in that a number of Canadian research libraries had a fairly direct experience with Conspectus through ARL membership or through actual participation. For example, the University of Manitoba participated in the very first pilot project.

The second thing that helped us in our goal to achieve a national inventory was the fact that the Canadian Association of Research Libraries (CARL) decided a few years ago that it had hit an age of maturity that required a five-year plan with some specific goals and targets. The Association worked through that process very carefully and, of course, collections was one of the major planks of their plan. The CARL work program is divided into collections and access, and the collections committee took up the whole issue of collections inventory and the possible uses of Conspectus.

So what we had in 1984 was a sort of coming together: the National Library with its plan for collections inventories; and the Canadian Association of Research Libraries, the major group of research libraries in the country, and one of the key players in any such plan.

The national plan has a goal, which is to describe the collections of Canadian libraries in all subjects using a standard tool that would provide comparable and reliable data. We really want to know "who has what and where it is." Within that overall goal, we have specific objectives. We want to achieve better interlending, and to have some basis for the rationalization of reporting to the union catalog. We want to encourage collections management in areas such as acquisitions, cataloging, storage, and weeding on the local, regional, and national levels. We are interested in trying to provide aid to scholarly research by giving our researchers better information about collections strengths and the special collections that are available in the country.

There was also a fond hope that knowing something more about the collections strengths would help us in funding. We have a most unfortunate situation north of the border, with very, very few granting councils and funding agencies. The large corporations have not set up foundations to provide funds to support or investigate major issues relating to libraries, such as collections or preservation. One of the few funding agencies we have is the federal government's Social Sciences and Humanities Research Council, which does provide limited funding for research collections. Of course, we are also interested in the possibility of using the collections inventory to help us in the major issue of preservation.

So with all these things in mind, the two thrusts of our inventory are a directory of special collections of research value and a general inventory using the Conspectus methodology. I would like to point out that we do have the two things going on at the same time. We have started to gather data on special collections of research value; in other words, very special, narrowly-focused, in-depth collections within the research libraries. We expect that the first edition of that directory, which covers the CARL libraries, will be available early in the new year.

With the national plan, our approach has been to phase in implementation over a number of years in order to include the major collections in the country. We began with the CARL libraries because they are the center, as you understand, of our research collections. It was very important for the national plan, therefore, that the CARL libraries attached equal importance to collections inventories. In the long run, we are planning to involve other academic libraries and large public libraries, special libraries, and possibly the major school resource collections, for their important holdings of audio-visual materials. And in some ways, the directory of special collections may give us some insight as to where it would be appropriate to apply Conspectus.

One of the things that we have had to do with the RLG's Conspectus methodology was Canadianize it. That may sound a little funny because, as you know, I have been one of the proponents of a North American inventory with no border between the U.S. and Canada. But there were some things with respect to Conspectus that we really had to do to make it appropriate for the Canadian scene. The first one was to expand certain sections of Conspectus--namely Canadian history, literature, and law--and this was done in cooperation with the RLG Task Force on Conspectus Analysis. As these expansions have been developed, they have been submitted to the task force to be incorporated into the revised Conspectus divisions. We also supported the Canadian Association of Law Libraries' work on an expansion and supplemental guidelines for law, which are being tested now.

Another area that presented us with difficulty was the codes for language coverage. This problem arose because French is not a foreign language in Canadian libraries. We are now using eight codes in order to describe accurately the language coverage in our collections. Through goodwill and cooperation, an arrangement has been worked out with the RLG task force to permit Canadian members of ARL to report to the RLG Conspectus On-line using the Canadian codes, which will be modified for display purposes.

The manual by Jutta Reed-Scott, and the RLG conspectus worksheets have been translated from English into French. The documentation is now bilingual and I just hope that when the next country with a similar situation comes along, we will not be involved in all that translation. Having said that, I know that when I was talking to the director of the French Ministry of National Education in Paris, he was very interested in the Conspectus methodology, and moreover he was pleased to know that the materials were available in French.

I understand that there is also interest in having a Canadian studies division within Conspectus which would pull together all the pieces and threads throughout Conspectus bearing on Canada.

The National Library is also working to encourage librarians to develop tools and verification studies to support the Canadian conspectus efforts. A year ago, we at the National Library established a non-monetary fellowship program to encourage librarians who had study leaves in the public, academic, and school library sector to come to the National Library to do their projects. We do not provide any kind of resource except space and the opportunity to work with our staff. We have someone who has indicated considerable interest in coming to work with us during a four-month study leave on a verification tool for Canadian literature. We hope that through this type of activity, we will be able to develop some of these tools.

As I said earlier, CARL endorsed its collection inventory project in 1984; 25 of the 29 members of CARL are committed to participation. The CARL Committee on Collecting and Preserving Research Library Materials oversees the project. In addition, CARL has an NCIP policy committee and, most important, we have a project coordinator. I believe this is one of the keys to the success that we have had so far. CARL members agreed to help finance a co-ordinator who would work in the National Library on their behalf. The amount of work that Mary Jane Starr, the project coordinator, whom many of you have met, has accomplished shows that this is a very necessary feature. If libraries spread out as far as the east and west coast of Canada are going to work together in some consistent fashion, you need one person to act as a link.

While the CARL program is national in scope, it is regionally-based, for implementation. We have encouraged regional groupings and the type of peer consultation that I saw happen so successfully in Indiana where libraries work together, compare notes, and resolve issues. The regional groups begin with a training session that is followed by a pilot project. The pilot project gives the group an opportunity to shake down and work out the bugs, and then decide how to proceed. We are finding that in some of our regional groups the members are quite happy to proceed together, all doing the same areas of Conspectus at the same time. Other libraries, after they have done a pilot project, feel that they really want to branch out on their own. So flexibility has been built into the regional group approach and through meetings and conference calls, members keep open all the lines of communication.

Another of the important things we are doing is developing a Canadian Conspectus Database and Service. It did not seem totally reasonable and feasible that the Canadian data would reside in the RLG Conspectus database because we knew that we were going to have libraries outside the ARL group wanting to participate. We are developing a system which is modeled on RLG Conspectus On-line. One of the guiding principles of our system is that it look and operate the same as RLG's so that users will not have to learn two systems.

There are several important features, however, that characterize the Canadian system. We have added a Boolean search capability on the subject descriptors and on the notes. Also there is menu-driven searching in addition to command searching to accommodate both infrequent users and the old-hand, regular users, respectively. The National Library's project to complete the Canadian Conspectus system is about 75% complete. For those of you interested in those hard dollar figures, we calculate that it has cost us about $150,000 to develop the system. We are hoping that we will have a Canadian Conspectus Search Service available by April 1987.

Elaine asked me to speak about problems and challenges, and I suppose the most obvious one for us has been the Canadianization. The National Library is very committed to this project and, as a result, we devoted a lot of our time and resources this past year to this Canadianization effort. As I said, it has been no mean feat getting the manual and worksheets translated, and doing the expansions for Canadian subjects in the various schedules.

As far as actual operational problems, from what I hear there are concerns about the application, as happens everywhere; for example, the LC schedule is not an appropriate framework. Any group is going to have to deal with those problems because, as we agreed, Conspectus is not a perfect tool. But it is a tool that can help us to achieve something. Also, there is the issue that David referred to, i.e., whether the decision to undertake Conspectus originates bottom-up or top-down.

In Canada, the decision to use Conspectus by the CARL libraries was a top-down decision, taken at the administrative level by the directors at a CARL meeting. Some directors had had conversations with their collections people beforehand, but in many libraries the collections and reference librarians who were going to participate were informed of the decision after it had been made. The saving grace in the top-down approach was our training program. Once the directors had made that decision, they moved very rapidly to identifying, in their own institutions, groups of staff who were going to work with Conspectus. I believe they provided staff with very good training programs and with experience in pilot projects where there was maximum opportunity for comments and suggestions to ways in which Conspectus implementation might be handled.

I give full marks to Jeff Gardner and OMS for the way in which those training sessions were set up. The style certainly helped to take a little of the heat out of the fact that a decision to participate had been imposed. If you go around now and test the level of enthusiasm among the working collections librarians in quite a few of the libraries—I am not going to say all—it is pretty good. And again, I believe a lot of that is due to the kind of attention that the coordinator has given. If people have problems, concerns, and questions, they are always encouraged to contact the coordinator.

The impression I have is that the people doing Conspectus believe that their directors are paying attention to their concerns even though they recognize that we have really laden them down with an incredible extra workload, and that nobody has relieved them of other duties. At the National Library, we have been having staff cuts like everybody else and then I added Conspectus to our workload. A project manager has been assigned to do it, and teams of other people are participating and doing other people's work as well as their own. There is no question that Conspectus represents a major commitment for both the director and the staff to get it done.

In concluding, having talked about our problems and concerns, I would like to reaffirm the strong commitment on the part of CARL and the National Library to realize this project and to identify and describe our collective resources on a national scale. We hope that this inventory will permit us to develop cooperative and collaborative programs. Certainly we are already seeing the same kind of benefits that are felt wherever Conspectus has been done. The staff know their collections better; they have made contacts with other colleagues at other libraries, and there is a great deal more communication and knowledge about the collections in Canadian research libraries than previously.

DISCUSSION

MS. SLOAN: Before we move to the second part of the program, which focuses on benefits and future uses, we have some time for questions from the floor.

MR. JOHNSON (Emory University): I am intrigued by the theme I heard in both Bob's and Marianne's talks about the issue and problems of engaging staff. It may come, perhaps, from a top-down versus bottom-up approach, but the need that Bob expressed for a good, strong commitment on the part of both faculty and university administrations, which he characterized as a problem at Notre Dame, is one that should concern all of us. I believe it is important that in gaining that commitment we do more than just describe NCIP or the Conspectus and what it is. We need to have some way to estimate realistically the time, resources, and effort that are involved in developing and using the Conspectus if we are going to gain the confidence of people and also whatever resources are necessary.

Thus, it is also important that we figure out how to express what we need in terms of resources, time, etc., in ways that can be understood by these folks, and to use the Conspectus in such a way that it is useful in many different situations, e.g., in libraries with varying collection sizes. There are not absolute numbers, I would assume; but you need a unified approach. In the past several years, the research libraries in the Southeast have been trying to work together to determine ways to use the Conspectus for collection analysis. Some of us have had more success than others, and one of the key questions in the planning sessions, particularly coming from our collection development staff, has been this same concern. How much in time and resources will it take for us to do this? We were not able to get much in the way of useful answers in the past few years. What is the current state of this question from the testing that has gone on? Is there more information that would be useful to us?

MS. SLOAN: That is an important question. It was certainly one of the issues that the application in the Indiana libraries wished to consider. Do you want to talk about our findings, Bob?

MR. MILLER: It has been a while, unfortunately, since I have looked at that. At this point, we get our best estimate and then double it--and then figure you are still not going to have enough time.

MR. JOHNSON: Just like automation.

MR. MILLER: Just like automation. It is so variable, depending on the particular subject area you are working in, the state of the particular bibliographer or subject specialist that is going to be working on the Conspectus, etc. As I recall, we figured about a hundred hours per medium-sized section, with a combination of professional and support time to do the basics. That estimate does not include verification studies or the like; it represents just doing the basic work.

Dave Farrell may remember better.

MR. FARRELL (Indiana University): That sounds reasonable.

MS. SLOAN: I believe that one of the efforts of OMS was to compile statistics on time, so that we would have this kind of information for future participants. Jeff, do you want to talk about that?

MR. GARDNER (ARL Office of Management Studies): We collected such data during the Indiana phase of NCIP, particularly. As Bob indicated, there is a wide range and it depends on a number of factors. We used to estimate 25 hours per section, on an average, it is probably a little higher than that. Some of the sections are very large and will take much longer. Our sense is that with training and done properly, in most situations 25 hours, which is lower than Bob's estimate, is not a bad estimate.

MS. SLOAN: Are there other questions at this time?

MR. JOHNSON: Let me just follow up on that, Elaine. Is there really going to be some of this kind of information put together? Is that a part of what ARL is going to do, or OMS, to help us develop ways to get this kind of commitment?

MS. SLOAN: Jeff, is there a continuing effort on the part of the office to collect that data?

MR. GARDNER: Not a formal effort.

MS. SLOAN: But the need for us to continue these efforts might be something that comes out of this meeting.

INTERNAL USES OF THE RLG CONSPECTUS

Anthony W. Ferguson
Columbia University

MS. SLOAN: I would like to move into the next phase of the program, which will focus on the future. Marianne Scott said in her remarks that the Canadian libraries were committed to the program because they saw that it "can help us achieve something," and we have asked the next two speakers to address that issue. What can it help us to achieve?

Tony Ferguson, who is now Director of Resources at Columbia University, has had experience with the internal applications of the Conspectus and will talk with us about some of those.

MR. FERGUSON: Let me begin by indicating that the following ideas on how the Research Libraries Group (RLG)/NCIP Conspectus can be used inside a library are taken from a larger research project being pursued by myself, Joan Grant of New York University, and Joel Rutstein of Colorado State University. It is being supported by the Council on Library Resources and RLG. The project deals with the entire question of how the Conspectus can be used to promote national resource sharing and how it can benefit the internal operations of America's research libraries.

Today I would like to focus on this latter function, the internal operations of the library. Indeed, the Conspectus can exist on two levels: first, as an internal management tool, and second, as a library management aid. As library administrators, we are faced daily with making choices not so much between right and wrong, but between numerous good directions that need to be supported. The problem is one of allocating resources most effectively. This process is further complicated because these competing priorities usually are supported by staff members who feel their priorities are most important and are often attached to these priorities emotionally as well as intellectually. Conflicts over priorities become battles over turf.

Library administrators personally, or with the help of their organizational protagonists, typically attempt to solve these conflicts between good and good by trying to get everyone to agree about what the library's overall priorities are and then apply what was learned to the specific case at hand. In recent years we have all been involved in a wide assortment of priority-setting programs: mission and goal programs, management by objective, long-range planning, strategic planning, the development of master plans, five-year plans, and, when everything else fails, disaster plans. It is within this context of planning and priority setting that the Conspectus can function as a road map by recording mutually agreed-upon, subject-specific statements of what is important. The phrase "mutually agreed-upon" is very important. If the Conspectus is completed in a vacuum, by one or two subject selectors, it will exist in this same environment. But by enriching this inventory of priorities through library-wide participation, the Conspectus becomes a very useful management tool. By steering one's course according to this map or chart, the library administrator can keep the library going in the right direction while responding to the changing winds of internal and external demands for action.

Joan, Joe, and I have identified ten areas of library work where we believe the Conspectus can be of service.

Let me begin with the most obvious use of the Conspectus--deciding on what the collecting priorities of the library are. The Conspectus can serve as the core of the library's collection development policy statement. Without it or something like it, narrative statements about academic programs and the library's intent to collect research materials become superficial gloss used for public relations and for filling filing cabinets. The Conspectus records the retrospective strengths of the collection and the current collecting intensity; and many libraries are attaching internally a third value to the subject lines indicating the level they should be collecting at if funds permitted. With these values recorded, meaningful discussions can take place between material selection officers and the faculty in terms of the collection's ability to support existing and future teaching and research needs.

When discrepancies are discovered, they can be used to establish priorities for future emphasis. Brigham Young University's library, for example, used their Conspectus-dominated policy statement with individual department library representatives, department chairs, and deans to initiative a heightened awareness of where the library was in the supporting of the teaching and research needs of the University.

A second internal use of the Conspectus deals with space, storage, and collection-pruning needs of our libraries. Circulation and shelving departments can use current collecting intensity values to project the faster growing areas of the collection and to single out fields that are currently collected at a decreased level and make these candidates for storage. Groups of libraries can use the Conspectus as a map of who is storing what level of material in a cooperative storage facility. The same information can also be used to guide collection pruning or weeding projects. Using the Conspectus, librarians can work with the faculty to target highly specific subject target areas for weeding with the knowledge of the level at which these subjects are currently being collected at other research universities.

Library preservation programs are a third area of Conspectus-aided activity. The Conspectus can help identify and subdivide the work for areas of internal and external cooperative preservation efforts.

For internal preservation work, some libraries, such as Cornell, have begun to annotate specific subject lines of their Conspectus, which is mounted internally on a personal computer using a database manager, with a variety of preservation decisions. Having information about collecting levels and preservation decisions so closely tied together is very useful. Another internal use of the Conspectus for preservation is its information about what is truly important and what should be saved in a library's disaster preparedness plan. Obviously, for this to be truly effective, libraries are going to have to make sure of the information they include in the Conspectus.

Externally, cooperative preservation programs such as microfilm projects require a mechanism to divide up the work efficiently, and the LC classification-based Conspectus has greatly facilitated this effort. Using the Conspectus, it is possible to divide up the work more finely than without it. It is clear that the enormity of the presentation problem defies individual action and requires cooperative solutions. The Conspectus can be very useful in all of these efforts.

The fourth area I would like to mention is the potential the Conspectus has for helping in staffing allocation decisions. Today's library is faced with the need to stretch its dollars even more than ever because of continued inflationary pressures for foreign serials, new electronic formats without adequate new funds to purchase them, and ongoing pressures to reduce government spending in education. Administrators need a sense of priorities in order to make proactive staff allocation decisions in all areas of the library, but especially in terms of material selectors and processors.

Clearly, not all areas of the collection are of equal importance and should not be serviced as such. The Conspectus will not make these hard decisions for the administrator, but it can provide a framework of priorities around which the decisions must be made. It encourages the administrator to stand back and look at the library's bottom-line--information--instead of the personalities involved.

The fifth area of Conspectus use deals with the preparation of library materials fund requests. Program improvement requests can be made more concrete by providing information that compares actual current collecting intensities with the needed levels of collection development. Information about the amount spent by other institutions, who have the desired collecting strength, identified by means of the Conspectus, can help build a case for new funds. On the other hand, the Conspectus can be used to substantiate the availability of materials through inter-library loan to faculty members when the university absolutely cannot or will not provide the needed support.

Of course, the Conspectus can also help with making projections of how much additional funding will be needed to bring the library's existing and/or current collecting intensity levels up to support changes in the curriculum. The collection depth indicators help this process because they differentiate between coursework and research collections.

The Conspectus can be used in a sixth way when working with library-wide or subject-specific accreditation agencies. It is especially valuable when responding to vague standards. The National Council of Accreditation of Teacher Education, for example, requires that "the library provide resources that quantitatively and qualitatively support instruction, independent study, and research required for each advanced program." The Conspectus can respond directly to these standards by indicating whether the subtopics within the target fields are being collected at an introductory (level 2), undergraduate and graduate course (level 3), or research (level 4) level. The Conspectus can, of course, also provide comparative data for the accrediting team's use.

I have already mentioned how the Conspectus can be used with the faculty to assess the degree to which the library is supporting their curricular and research needs. But there are other ways the Conspectus can be used when working with the faculty in this, the seventh area of internal library use. A library can annotate its own version of the Conspectus with information about individual faculty members' research interests and make notes tying Conspectus lines to specific courses. Faculty members can be given customized lists of collection strengths for their own library and others where they might travel in search of material when specific items are not known. The capacity of the library's ability to handle their students' thesis and dissertation topics or their personal research can also be analyzed. When departments are involved in internal audits or program reviews, the library can also better respond with specific data about collection strengths.

An eighth use of the Conspectus relates to material selector training. It is an excellent educational tool for the newly-assigned bibliographer, part-time selector, or even the veteran bibliographer who has lost track of all the individual trees while laboring in the forest that maybe was once only a small grove.

Selectors have to analyze their collections systematically in terms of the collection depth definitions. Overlap studies of specific parts of the Conspectus get the selector involved in collection assessment. They can record a variety of their findings on an internally-mounted Conspectus, i.e., volume counts, references to earlier collection analysis projects, expenditures, number of serials, etc. Finally, because definitions for the various collection depth indicators suggest the type of material acquired for each level, the selector is educated about what kinds of material are appropriate to the level being supported. Selectors who have worked with the Conspectus intensively in these ways will have the confidence to talk with the faculty, will make good selection decisions, and will be more interested in finding time to assess methodically their own roles and the strengths and weaknesses of their collections. It gets them involved in collection building and not merely the job of reviewing approval plan books and passing through faculty requests.

A ninth use of the Conspectus relates to the establishment of processing priorities. Although there are logical arguments, largely because of an absence of information about priorities, for doing as much copy cataloging as we can irrespective of the importance of the individual item to meeting the curricular and research needs of the university, Conspectus information does provide the library administrator the opportunity of considering other alternatives at most, or at minimum, of considering how meager resources for original cataloging, reclassification, retrospective conversion, or cataloging backlogs should be allocated.

Finally, a tenth function to which the Conspectus can be put relates to library grant proposals. All proposals, whether collection-related or not, require information about the strengths of the library services and resources. And most ask for impact information--the greater the impact, the better the chance of getting the grant. Conspectus information demonstrates how the request will contribute to the appropriate arena of sharing, whether cooperative acquisition, preservation, or processing. The data are equally useful for state, regional, and national consortia, or even individual libraries that wish to show how the support will enable the applicant to make a significant contribution.

Now, to complete the Conspectus--and I do not think a library will ever entirely finish the process of validating and subsequently revising its collection depth values--does indeed require a significant expenditure of time. I have had many librarians tell me that doing the Conspectus seems to be a good idea but not worth the significant expenditure in time. They seem to view taking part in the

Conspectus-building process like gambling. A completed North American Collection Inventory Project might result in planned resource sharing or it might not. It is a gamble, and these librarians are conservative gamblers who believe it is best not to gamble with grocery money. It seems, irrespective of their library budget size, they feel they have only grocery money.

I hope, the essence of my remarks has, to a degree, reassured these librarians that by participating in the Conspectus-building process, they are not only taking part in this national gamble, but they are purchasing bread, butter, potatoes, and chicken, if not steak, with their grocery money. I hope I have also made it clear that to get your full money's worth, the Conspectus should not be used only by the collection developers in a library. To realize its full value, the Conspectus has to become the library's Conspectus.

Library directors who are responsible for the single most costly unit of their university should adopt the Conspectus as their record of priorities and encourage all of their units to use it as the framework upon which decisions are recorded. This will ensure that while a national resource-sharing program evolves, an event that is critically needed if our scholars are to enjoy untrammeled access to information, our libraries will have to be working consistently toward the achievement of their goals, and not merely zig-zagging between political and personality-based expediencies.

THE CONSPECTUS: ISSUES AND QUESTIONS

Millicent D. Abell
Yale University

MS. SLOAN: Tony has given us an excellent overview of some of the internal uses of the Conspectus. We thought it would be useful to end the program with some questions and issues for the future. Who better to pose those questions to us than Penny Abell, who has spent considerable time as the director of several major research libraries, and who also has the broad perspective of a leader in research library activities over the past several years. Penny is currently the University Librarian of Yale University

MS. ABELL: Thank you, Elaine. What Elaine did not mention is the real reason why I was invited to speak on this program—and that which distinguishes me from everyone else on the program, including the moderator—is that the subject is one on which I am relatively ignorant. Everyone else has been deeply involved in the development of the RLG Conspectus or the NCIP program or in their applications. I left the University of California, San Diego, before application began, and I arrived at Yale long after it was over, so my bias of ignorance is called into play to counter the bias of knowledge and investment of the speakers; I am proud that it only took one of me because my ignorance is so profound.

I have been asked to talk about challenges and questions regarding the Conspectus from a national perspective. The principal challenge we are confronting this morning is not how to use the Conspectus more fully, but rather how we can achieve effective collaboration in the acquisition, management, cataloging, preservation, and use of research and informational resources in a variety of formats from producers spread throughout the world. And further, how can we achieve this collaboration in an environment characterized by increasing factionization and alienation within our institutions—inadequate capital, operating, and developmental funds; rapidly proliferating and changing technologies; expanding fields of scholarly inquiry; increasing privatization of information; inadequate organizational structures to deal with these issues institutionally or professionally; dirty little wars which impede the flow of information; and the failure of the leaders of the world's two most powerful nations to reach agreement on arms control.

Well, you cannot face a challenge like this without a map. The Conspectus is a better map of research library collections and collecting strengths than we have ever had. Constructed more through the application of informed judgments and thoughtful perception than from scientific surveys, this map provides us with a common framework for discussion about collection development, management, and related issues. Moreover, much benefit has been derived from the very process of making the map. There has been ample testimony in this regard. Paul Mosher, who was up to his ears as an architect and cheerleader in the development of the Conspectus, has observed: "the most valuable part of the whole project for many of us--and our bibliographers--has proved to be the process itself. Often, for the first time, collection development librarians were urged to analyze their collection systematically.... Even while the project is underway, librarians find they are able to communicate more knowledgeably about their collections, make selection and management decisions more soundly, and generally take better control of the collections under their stewardship."

I will push the map analogy just a bit further to forecast the main issues that I want to raise this morning. First, we must be careful that we not expend our best efforts on refining the details of the map rather than getting on with the journey. Too often we fall into the familiar trap of refining a technique rather than using it in a realistic and pragmatic fashion. Second, we must take care, lest the particular cartographic projection we use leaves us with a skewed and incomplete view of the universe with which we must deal. Third, let us recognize that a map is only part of the equipment which our expedition needs and, indeed, equipment alone will not guide us. We have important decisions to make about where we are headed, why, and how. Moreover, we need to recognize that the research library community is not now, nor likely ever to be, moving in orderly ranks across a broad front of issues in collection development, preservation, and access.

As I queried colleagues in a number of ARL institutions regarding the Conspectus from a national perspective, concerns voiced frequently pertained to the tool itself. One view is that the data are suspect. In fact, the Conspectus values are not data, but expressions of opinion. These expressions vary from selector to selector and from institution to institution in their nearness to reality. The Conspectus verification exercises ascertain how accurately the values reflect collection strengths, but there are anomalies which cast doubt on the verification studies. The result is that, in the view of some directors, one institution cannot be sure of another's data, and therefore the Conspectus is not useful as a reliable guide to areas of possible interdependence. At best, experience requires that verification studies be redrawn and reapplied until all involved are satisfied.

There are further proposals for revisions and amplification of the Conspectus. As you know, a number of worksheets are in various stages of revision and additional supplemental guidelines are being produced. And I heard recently of a proposal to add to the present fields of Existing Collection Strength and Current Collecting Intensity another field, that of Desired Collecting Intensity.

Now, I do not propose that we debate here the merits of any of these particular concerns or refinements, no matter how tempting. The Conspectus was born only a little over five years ago, about the same time we began using microcomputers. It is evolving along with the mutual understanding of the experts involved. The challenge we directors face is how to support and encourage our collection development officers and specialists, as individuals and through various groups working on the Conspectus, as they try to assure that more of their effective energy is directed into the implementation of collaborative programs of action--enterprises of far more complexity than even the Conspectus development.

Before I proceed to the second set of issues, let us recall the aspirations of the developers of the RLG Conspectus and those who formulated its adoption for the National Collections Inventory Project. It was intended to provide the following: first, a map of North American research collection strengths through a standard tool for collection description and assessment; second, a mechanism to locate significant research collections more expeditiously, thus serving as a powerful public service referral device; third, the capacity to relate local collecting policies to collection levels at other institutions and to serve as the basis for collaborative collection development, both nationally and regionally; and, fourth, the capacity to relate collection development strengths to cataloging, retrospective conversion, and preservation needs, and to serve as a basis for cooperative cataloging and preservation efforts.

In my judgment, even those four simple statements overload the Conspectus with expectations and, in this respect, I agree strongly with David's earlier remarks. For example, substantial and important parts of our research collections cannot be described through the Conspectus because of its structural design. The Conspectus attempts to describe collection and collecting strengths as they relate to publications of various kinds generally covered by the standard bibliographic apparatus. Research, as supported by the research library, depends, of course, on a far greater array of resources. These resources include, among many others, archives, literacy manuscripts, personal papers, video archives, and privately-produced machine-readable information. These types of materials present formidable difficulties in their acquisition, processing, preservation, and accessibility. The Conspectus cannot provide the basis for systematic collaborative collection assessments of these materials.

Nevertheless, we must assure that such materials are represented appropriately in our collective collections on the one hand, and that we are not unduly competitive in acquiring them on the other. Moreover, we need to continue to seek ways to make strengths in such primary collections well known. There is no intention here to suggest that the Conspectus be reconfigured to provide for such descriptions and to support such activities. Rather, the question is what other conceptual and descriptive strategies and techniques can be used to complement efforts which can employ the Conspectus to assure greater access to the vast array of primary resources?

The third set of issues turns on yet another question of whether how we use the inventory properly is our primary concern. I suggest that it is more imperative for us to focus on the problems that we are attempting to address collaboratively, define our objectives, and then ask if the Conspectus data can be incorporated in strategies for addressing those problems. The areas of collaborative activity noted earlier are collection development, cataloging, retrospective conversion, and preservation. Because of the peculiar difficulties of a national collaborative cataloging effort, I am setting that aside for the purposes of this discussion.

One of the principal preservation problems, that of reformatting brittle books, is similar in a number of ways to the problem of retrospective conversion. There are finite bodies of brittle books and cataloging data in our libraries. A stated goal of the Association of Research Libraries "is to establish a coordinated and systematic program for conversion to machine-readable form the records and monographs from all significant collections in the U.S. and Canada." Should the Association consider whether a similar goal, perhaps, though not necessarily, for direct Association action but certainly as an expression of our mutual aspiration, ought to be articulated for the preservation of brittle books?

Not every book nor every record can be converted at once. Should we, as a research library community, attempt to reach consensus on a methodology for establishing priorities of action? Or are the problems still so immense that virtually any initiative that assures the conversion of records or books not already converted should be considered in the national interest? Or are the various political problems associated with competition for funding so significant as to prevent us from reaching an effective conclusion? These are questions with which we must deal before we can respond to the question of whether and how the Conspectus data can be useful in planning and implementing strategies for solution of these problems beyond the local level.

The questions become even more complex when one considers the issues and strategies for collaborative collection development on the national level. Collectively, it is likely we acquire currently only a small proportion of the available resources of potential research value. In a cursory review, I could find no statement in the ARL literature of the goals to be achieved through collaborative collection development. In other contexts, the goals of such efforts are stated as: to provide adequate coverage of research resources, to assure that scholars have access to needed materials, and to extend the body of research material available in North American libraries.

Collectively, we acquire now only a small proportion of resources of potential research value throughout the world. Is it likely that collaborative acquisition efforts could substantially increase that proportion? Is it desirable? If the goal is really more limited and precise, how are we to articulate it?

The Conspectus data can be useful in identifying areas for special attention, but other data and informed evaluation are also required. How do we mobilize human resources to identify the kinds of materials that we must add to our collective collections? What role do specialist bibliographers, collection development officers, scholars, and library directors play in this process?

Finally, of what significance for national planning are the initiatives and activities, new and old, that exist on the regional level? What can we learn from the collaborative preservation efforts in the University of California or those of the Middle Atlantic libraries? What can we learn from the collaborative collection projects in the Pacific Northwest or the CIC libraries?

I suspect that there is much to be learned from these experiences if and as we grapple with the problems of effecting national strategies. Given the factors that tend to be conducive to regional collaboration—factors such as relative ease and low cost of communication and management, and relative convenience for those scholars whose work requires that they have access to collections, not simply to discrete items—are not such efforts likely not only to serve regional needs but also to serve as building blocks for national strategies?

Indeed, the bulk of the work—acquiring, preserving, making accessible, using collections--will continue to be done locally, but our aim should be to carry it on within a much broader context.

Questions and issues abound. The Conspectus has stimulated a widespread and mutually-intelligible discussion of collections and access issues. We must credit it and look at the formulation process as an experience on which we can build and at the inventory as an extremely useful source of data and a communication device.

There is abundant evidence of the local utility of the Conspectus, and there continues to be reasoned optimism regarding its utility in national collaborative efforts. But the Conspectus, as David said, is a tool, not a panacea. We must be careful not to try to tie every cooperative venture to it, and we must be especially careful lest we focus our energies on this tool rather than on the very complex and tough conceptual and political issues which still stand before us as we seek to collaborate effectively.

REPORTS FROM DISCUSSION GROUPS

Following the formal presentations, attendees at the meeting divided into small groups to discuss concerns relating to the North American Inventory Project. Discussion centered on four concerns:

1. The organization and governance needed to support using the Inventory for cooperative collection development and preservation decisions.
2. Educational and/or promotional material needed to assist libraries and users to use the Inventory effectively.
3. The role of the scholarly community in determining or influencing the development and uses of the Inventory, and how research libraries might shape that role.
4. The potential for and interest in regional collections inventories that might include data from small non-research libraries, and ARL's role vis-a-vis such efforts.

MS. SLOAN: I would like to call the meeting to order. We have a panel that is prepared to describe to you what they believe went on in the discussion groups. The description is organized around the questions that we asked you to consider. We invite your comments and questions.

Don Koepp will begin with the organization and governance issues. Irene Hoadley will then discuss promotion, education, and training. Charles Miller will follow with the scholar's role. David Bishop will address issues concerning applications on a regional level. Finally, Susan Coté will describe some other concerns and issues that emerged in the discussions.

You are first, Don.

Organization and Governance: Donald Koepp

MR. KOEPP (Princeton University): This is the formal question we were trying to answer: "Assuming that the Collections Inventory provides information that can facilitate and support cooperative information and collection development and preservation, what national and/or regional organizational bodies exist or need to be developed to make those decisions?"

One of the themes in the discussion that we kept hearing over and over again from almost every group--and indeed on almost every question--was that we do not need any new organizations. There seems to be a general sense that the library world has a sufficient number of organizations to do almost anything.

There was a related question, though, of access to the inventory. There is a sense that its current housing, if you will, at RLG in RLIN presents problems of one sort or another for libraries that do not have access to that database. So, we heard strong support for ideas such as loading the inventory into OCLC and maintaining it there. At the same time, there was another thread in all of the discussions that dwelled on the fact that, in theory at least, it will not be too long until some of the barriers between databases will disappear and which database something is housed in will not make a critical difference. This was viewed as the case with the inventory in particular, in that no one saw the inventory database as one that was likely to generate massive amounts of revenue and it seemed like a fairly safe file to put in almost any database. There was also the question, however, of whether those wishing to put the inventory in another database really had any sense of whether access would be free or whether there would be a cost attached.

A third theme that came out in the discussions was that NCIP has to be seen as an adjunct to other aspects of our organizational life. When viewed simply in the abstract as a good thing quite unrelated to anything else, NCIP becomes a little ethereal and it is rather difficult to see exactly what the point is. If, however, it is embedded in another organization and if the inventory serves the purposes of another organization, the questions relating to its utility abate at least somewhat.

Finally, in response to the direct question about the role of ARL, there was in at least one group, and probably two, strong feeling that there were two aspects of the inventory that had to be kept in mind whenever one talked about maintaining or supporting it. One aspect had to do with the development of guidelines, paying attention to uniformity of input to the extent possible, given the basis of most of the information and development of a set of protocols that would assure some confidence in the comparability of the data. Where one puts that central responsibility is not anything anyone answered very conclusively. But it seemed in some senses that it might be a very sensible role for ARL.

The development of training devices is another aspect of NCIP. One of the themes--one of the constant preoccupations--is the whole question of training. The possibility of ARL's role there was mentioned specifically.

I believe that is all I gleaned.

MS. SLOAN: Let us hold our questions until the end and we will turn now to Irene.

Promotion, Education, and Training: Irene B. Hoadley

MS. HOADLEY (Texas A&M University): The second question concerned the need for promotional and educational materials and training. The first point was that if the program was to be promoted, ARL must have a commitment to advance NCIP as a priority of the Association. If that were not the case, then there would be no need for promotional material.

In terms of specific needs, there is a need for generic information for end-users; it should be promotional in nature. It should be lively and professionally done, and should explain what the process and the product are to avoid any kind of misinterpretations--that was in light of our discussion at the Business Meeting about the index. There was, however, some contradiction to this, a belief by a different group that the materials should really be educational, and should not be promotional; that the role of ARL should be more or less a supportive resource role rather than a very aggressive role.

There is also need for information for library staff. It was noted that many of the tools that have already been produced have been well done and those should continue.

Also, there should be some emphasis placed on the resource-sharing concept; there is really a need for guidelines. Perhaps a SPEC kit could be compiled on this topic to provide some of that information.

There should also be a program to promote or to educate the library profession in general through the use of publications, targeting various specific groups with different kinds of publications.

Another expressed need was for information for new directors to bring them up to speed very quickly in terms of what NCIP is and what it does. There was also a feeling for a need to work with scholarly associations to educate them as to what the tool is and what it will do.

I believe that pretty well covers the topic.

The Role of the Scholar: Charles E. Miller

MR. MILLER (Florida State University): There were some mixed feelings with regard to the role of the scholar in the Conspectus and NCIP. Some directors felt that the faculty should be involved, but that there was a need to interpret the Conspectus carefully in so doing.

There was consensus that there is a need to work with foundations and university administrations to interpret and describe the Conspectus, and to do a thorough job of that in advance.

It was felt that scholarly associations need to be informed, as well as university administrations, in relating NCIP to academic programs, goals, and objectives, and that there is a need to inform granting agencies about NCIP. Several discussion groups expressed real concern and reservation that the results of Conspectus should not be used against a library because of any numerical showing therein.

Other discussion groups reported that scholars should be seen as users of the end result solely, and that they should not play a major role in its development. In this instance, it was felt that the faculty should not be involved in the decision making, rather that responsibility should be restricted to the library. Those who held this opinion regarded the Conspectus as a tool for librarians that could be used to explain collection strengths and weaknesses to solicit support from faculty and administration.

On the other hand, in some discussion groups it was believed that faculty should participate in the Conspectus. This view was from the perspective that it be a tool in developing plans for new academic programs and in planning for collection growth and development.

Regional Applications: David Bishop

MR. BISHOP (University of Georgia): Things may have slowed down a little by the time people got to the fourth question. We can identify, however, three general areas that were talked about: 1) the general question of non-ARL participation; 2) how regional groups should organize or should be organized; and 3) ARL's role in dealing with non-ARL libraries.

In the first area, there was a belief that accepting data and information and participation by non-ARL libraries is probably somewhat off in the future, but we do need to recognize the need for the desirability of selective participation by smaller libraries with very strong collections. Thus, the focus for non-ARL libraries should be on those with strong and distinctive collections, such as historical societies and the like.

In the second area, how regional groups should be organized--actually the whole question of regional development--the groups believed it would be best handled at the local level. This should be a grass-roots effort and smaller libraries may very well need subsidy in order to participate.

In the third area, ARL's role, the general consensus was that ARL may well have a role as a trainer of these regional groups, but also that ARL's role probably should be limited to that of a trainer.

It was suggested that we explore with ACRL its role in getting non-ARL libraries involved. The bottom line consensus was that ARL should not make a heavy commitment to efforts that include non-ARL libraries. As one group leader said, "this is not an ARL problem."

Other Issues and Concerns: Susan Coté

MS. COTÉ (Case Western Reserve University): A pervasive concern that buttressed one mentioned this morning was that we have to ensure that the process does not become more important than the results. It was also stressed that more cost data are necessary in several areas: staff costs, time costs, and also the costs involved in moving from one level of collecting to another.

There is a need to make the Conspectus more available online. One suggestion was that it be put on floppy discs and distributed. There was concern that if a central authority, either regionally or nationally, has control, there may be imposed cooperation that cannot be delivered, or may not even be desirable.

There is a need for more quality control. There was also a concern that standards may still be too subjective, although this was countered with the fact that that may be so, but they are the least subjective standards we have had to date.

There is a need to involve all levels of staff in the project. We must demonstrate the utility of the project not as an internal tool for collection management, but as a resource-sharing mechanism. Institutions need to know that there is adequate budget support before they proceed with this, and that we may be building too much expectation of what the project can and will be, especially to outsiders.

Finally, we need to decide just how important NCIP is. Is it a priority in all institutions? Can it be a priority in all institutions?

Discussion

MS. SLOAN: That concludes the summary of the small group discussions and the floor is now open for questions and comments.

MR. STAM (Syracuse University): Susan mentioned the idea of the Conspectus being distributed on a floppy. One of the ideas that came up during an advisory committee meeting in the summer was a floppy which would, in effect, be the worksheets. When we were concerned about the amount of time, we thought at that point that if we could distribute the worksheets on a floppy for subsequent loading elsewhere, we might save some time. Does anybody know what has happened to that idea and where it is?

MS. REED-SCOTT (ARL/OMS): There are two things happening with this. RLG has agreed that they will make the worksheets available on floppies. The next step is, clearly, trying to find software to allow libraries then to manipulate the data locally. We have been talking to some people at Cornell about this. They have been using dbase III to manipulate their own local data and we are trying to find a way to make copies of that software available.

MS. SLOAN: Thank you. Are there other questions, concerns, or issues that were raised in your small groups that were not adequately expressed? If not, I believe that we can conclude this part of the program.

BUSINESS MEETING

Session I

Announcement of Vice President/President-elect for 1986-87

MS. WOODSWORTH: I would like to introduce to you the Vice President/President-elect for the coming year: Elaine Sloan of Indiana University. Elaine, would you stand up, please? Thank you.

ARL Recon Project

There are three items of business on this afternoon's agedna. The first one is the Recon Project. As you recall, at the May meeting the Board was asked to report to this meeting on the activities and progress of the Recon Project. In so doing, the Board was to look at the parameters of the project and to give some indication of how the project would be evaluated at the end of the two-year period.

At the Board meeting immediately following the Membership Meeting in May, we talked about how to accomplish this review. The progress report is relatively easy, but the review is a little more difficult to tackle. The Board decided very quickly to turn this over to the Executive Committee. It was agreed that, with assistance of staff, the committee would undertake the following: an assessment of the component parts of the project to date, and then, development of criteria and a timetable for evaluation of the componenet parts that would form the parameters for the membership discussion next May. The Executive Committee agreed that the review report should try not only to clarify the separate component parts of the two-year pilot project, but also to set out the criteria by which each component could be evaluated by the membership. With those directions, the staff began to work on this two-part report, which includes a status report and an evaluation outline. We want to provide you with an answer to the question of where we are and where we are going in the next few months.

Today, you have the opportunity to look at what has been accomplished and discuss what is planned up to the conclusion of the two-year project. The first part of the update was sent to you with a cover memo from me dated October 3. The second part of the update will be given to you shortly by Joe Rosenthal, who will, as chair of the Bibliographic Control Committee, give you the latest news, that which could not be included in the report that was sent to you. But before I call on Joe, I would like to point out that the first four pages of the report, including the chart in Figure 1, provide a context, goals, tasks, and criteria for five separate component parts of the project.

If you have any questions, perhaps they should wait until Joe has given his update.

MR. ROSENTHAL: I do not have a lot to add. An analysis of the results of the 1986 questionnaire on retrospective conversion was prepared by Jutta Reed-Scott. Some of the findings are as follows.

87%, or 103 libraries, responded to the 1986 survey. Of those, 14 libraries have completed retrospective conversion and plan no further work, 13 do not plan to undertake any significant retrospective conversion before 1988, 72 libraries plan to undertake retrospective conversion, and four libraries of those who responded did not complete the information.

In response to the question whether the libraries are interested in participating in a collaborative retrospective conversion project within a high-priority subject area, among the libraries that are planning retrospective conversion, 39 libraries are interested and 45 libraries are either not interested or not able to participate at the time of the response, for one reason or another. Nineteen libraries did not respond to the question, and the assumption made was that they are presumably not interested or not able to participate.

The Bibliographic Control Committee reviewed the progress of the Recon Project with Jutta Reed-Scott this morning. Of the projects that are under way or proposals that have been developed, all are currently following the Guidelines for Retrospective Conversion of Bibliographic Records.

One subject area that the Recon Project, per se, has not involved itself in because of an emphasis on that area within the Research Libraries Group has been that of literature. There is considerable interest in undertaking retrospective conversion in literature.

The committee presumably will be monitoring the work of the project during the next several months and will make a review and recommendation report to the Board. I would be pleased to try to answer any questions or refer them to Jutta.

MS. WOODSWORTH: Thank you, Joe.

I would like to ask if there are any questions on the progress report that Joe just gave or the one in the written document in front of you. If not, we are asking your help with the timetable and the general approach that is outlined in the document. You will recall that you will be making a decision next May on whether to conclude all or parts of the two-year retrospective conversion program. Thus, the framework that the Bibliographic Control Committee and that the Executive Committee and the Board used to make a recommendation to you is important, and we would like some reaction from you as to whether it will indeed answer all the questions that you anticipate will be discussed next May.

If there are no comments, I would like to thank the staff, particularly Jeff Heynen and Jutta Reed-Scott who really did a lot of work preparing that background document, and the Bibliographic Control Committee for its review and guidance.

If I hear no suggestions, questions, or concerns, I will move on to the next item on the agenda.

Report of the President's Task Force on Membership Criteria

MS. WOODSWORTH: The next item on the agenda is the interim report of the President's Task Force on Membership Criteria. I would like to take a few minutes to bring you up to date and to put into context the documents under discussion today.

First, the interim report was the result of a one-day meeting held in February; the task force is scheduled to meet again this Friday. As Penny Abell called us, we "has-beens," or very near has-beens, who agreed to serve on this task force hope to see an end to those meetings this Friday, also. So, even though the document that you have has not been discussed by the task force itself, we anticipate that following these discussions the task force will be able to conclude its work this week. What we are looking for is a reaction to some of the principles, philosophies, and questions in the report to help guide our deliberation.

The other paper that you received in advance of the meeting was prepared by Kendon Stubbs; it is called "A Report to the President's Task Force on Membership Criteria." Again that paper was completed very recently and also has not been discussed by the task force itself.

Thus, I would ask you to remember that these two documents are really working papers. It was felt, however, by the Executive Committee and members of the task force that a high level of interest exists in and around the issues that are outlined in the documents and, as a result, we thought that we should touch base with the membership before proceeding to gel our thoughts and form recommendations.

For purposes of structuring the discussion today, I would like to separate our talk into two parts, leaving all the questions about the ARL index to the end. Thus, if I can bring your attention to the tentative recommendations that are outlined beginning on page five of the interim report, I would like to get some sense from you about the direction that the task force is proposing. [The recommendations from the report appear on p. 40.]

Recommendation One is what generated the Stubbs report and I would like to leave discussion of that until later. Recommendation Two: the Committee on ARL Statistics was asked to investigate "researchness" factors--an awful word, isn't it--and to report to the task force on these as a feasible way of assessing potential members. The committee has been doing what they were asked to do and their report to the Task force was delivered today, and is not yet available to the membership. The task force members have not had a chance to review the report and I am reluctant to share the results at this point. But if you are keenly interested in having a summary, I will ask Ted Johnson, who is chair of the Statistics Committee if he is willing to summarize it for you. Basically, what the committee looked at was the use of Ph.D. fields and counts as a measure of research factors. Is that about accurate, Ted? Do you want to elaborate?

MR. JOHNSON (Emory University): The report that was handed to us today was also given to the Statistics Committee at about the same time in the same form, in a plain brown envelope, and we have just concluded a meeting, at which we looked at the document. The report is called "A Preliminary Report on Ph.D. Counts for

From: Interim Report of the President's Task Force on Membership Criteria, October 1986

Recommendations

1. A study should be conducted to test various manipulations of the index, including different "control" groups and different combinations of elements, to determine whether a revised index would be a better summary descriptor of the ARL membership.

2. The Committee on ARL Statistics should investigate the "researchness" factors and report to the Membership Criteria Task Force and/or the Board as to their feasibility for use in assessing potential members.

3. The official Board policy on merged institutions--eligible for membership four years after a single library director is appointed--should stand.

4. The procedures for nonuniversity libraries should remain as they are.

5. A Membership Committee should be established, possibly as a standing subcommittee of the Board, with a liaison with the Statistics Committee and the Board. The committee would consider all potential members. There should not be an ARL Visiting Committee as part of the evaluation process.

6. Potential new members should be considered every five years. The first "window" should be five years after the beginning of the current moratorium (e.g., October 1990).

7. These principles should be followed with respect to the ARL Library Index requirement of the membership criteria:

    a. The entry level and the maintenance level index score should be the same. The specific number should be determined after the study outlined in #1 above is completed.

    b. Current members should have a grace period of four (five?) years in which to meet the entry level or be dropped from the Association [beginning at the end of the current moratorium? upon adoption of new criteria?].

    c. Libraries that fall below the entry level should have a four (five?) year notice period in which they must raise that index score to the required level.

    d. A library that has been on notice and has raised its score to the required level must maintain that level for four (five?) years or it will be dropped.

    e. Applicant libraries should be required to meet the quantitative requirements (i.e., Index score required for four (five?) years up to and including the year of application) before the qualitative criteria ("researchness") are applied.

Membership Criteria." What we have been trying to do is to see if we could establish some kind of broad conceptual framework to address this question of "researchness" of the various institutions and to differentiate between the research libraries that are members of ARL and other libraries. We want particularly to find if there is some other small group of libraries that can be easily identified that ought to be members. The concept was to attempt to see if we could define a level or degree of "researchness" in breadth of research fields and perhaps, to some degree, in depths of fields, by numbers of Ph.D.'s awarded. You will recall that the criterion we use now is Ph.D. fields in which institutions are doing research, and we report that, as well as the number of Ph.D. degrees awarded, in our statistics.

Using the numbers for 1983-84--numbers that were reported by U.S. institutions to the Department of Education's Center for Education Statistics--the staff has done a very quick cut of how the numbers of degrees awarded might break down amongst four broad disciplines. I might need a little help from Nicky, but my recollection is they are life sciences, physical sciences, the social sciences, and fine arts and humanities. Is that right?

MS. DAVAL (Association of Research Libraries): Yes.

MR. JOHNSON: I would footnote by indicating that history, for this first cut, is listed amongst the social sciences.

MR. FORTH (Pennsylvania State University): That is a mistake.

MR. JOHNSON: With these results, then, we have tried to array by institution the number of Ph.D. degrees awarded in these various fields. It does not appear at first glance as if this is going to help us. Our thought was that perhaps we could say something to the effect that to be a full-fledged research university, one would expect a university to be offering Ph.D.'s to a certain threshold level in each of those four broad areas, or perhaps three of those areas. One might also look to see if there are some subfields within those areas and indicate that we would expect a certain level of work and awards within those broad discipline categories. Another suggestion was to select one or two of those broad fields and require a much more active level of Ph.D.'s awarded. Another suggestion was that there ought to be some minimum threshold of Ph.D.'s awarded in total, or some combination of these things.

As I say, from our brief review of the document, this first cut does not look very promising. No clear-cut solutions for this problem appeared, so we have no specific recommendations from our committee, except that one could continue to do some more refinement of this. One problem is that the CES numbers include all doctorates, not just Ph.D's. We have had discussions as to whether one can or should distinguish between those. For example, it appears as if the social science category has a very large number of degrees awarded. One strong field in this category for many institutions is education, and the large number of degrees awarded there, we believe, are D.Ed.'s rather than Ph.D's.

The more one tries to refine these definitions to find distinctions, the harder it will be to gather data, to report them, or to categorize them. The data are not coming together in a nice way, so we are probably going to refer the question back to the task force on Friday.

Is there anything else I should add?

MS. WOODSWORTH: Are there any questions of Ted?

MR. CARRINGTON (Rice University): Do we have a definition of exactly what a Ph.D. is? I hear Ph.D.'s in education, Ph.D.'s ad nauseum. Could we start with defining what the organization has said is a Ph.D.?

MR. JOHNSON: Sam, you have your finger on one of our problems, because there are a lot of ways you can define it. Do you define it as a Ph.D.? Should we include doctorate degrees of various kinds in our count or not? We are interested in doctorates that have a research component, and the problem is to find some relatively simple, straightforward way to get this information using the data that institutions are now reporting so we do not have to go through another complicated survey. There is a danger in our trying to define Ph.D.'s for our own narrow purposes, lest we end up with another publication and a whole set of related issues. So we have used the numbers institutions have reported to CES. Is that right? Do you have any other definition, Nicky?

MS. DAVAL: ARL has always asked, in its annual Statistics survey, for numbers of Ph.D. fields only. We know that some libraries do send us just Ph.D. fields. Others send us all the doctorates that are awarded on their campus. Some libraries tell us they include all the doctorates; some do not. But the data from the Center for Statistics, I know, are all doctorates. They do not differentiate between type of doctorate, and because of the numbers we have, we know that a number of our institutions also do not.

MS. WOODSWORTH: Are there any other questions? Are there any suggestions for how to cope with this problem?

All right. Moving right along: Recommendation Three. The Board had established a policy on merged institutions and the committee looked at that and decided that they wanted to reaffirm it; that is to say, if two institutions merged into one and became of significant size to be potential candidates for ARL membership, the "new" library must have been under the directorship of a single individual for four years. That is the qualifying period for the statistics that are collected for membership applications.

Recommendation Four is that the procedures for non-university libraries should remain as they are.

Recommendation Five is that a membership committee be established, probably as a standing committee of the Board. There was a lot of discussion about whether to have a visiting committee and we affirmed that definitely there should not be a visiting committee. We are not in the accreditation process.

A MEMBER: Why a standing committee rather than an ad hoc committee if you are only going to do this every five years?

MS. WOODSWORTH: Good question. I do not recall. It was February when we met and the report is a summary of what we concluded. Do you remember, Richard?

MR. TALBOT (University of Massachusetts): Do not forget that the membership criteria also apply to institutions already in the organization, and there must be a maintenance of effort as well. But the committee could be ad hoc; it depends on whether the issue arises.

MS. WOODSWORTH: As I recall, it seemed to us there were enough activity and questions that needed to be resolved on an ongoing basis that there had to be almost the equivalent of a finance committee on the membership issue. This issue has surfaced almost regularly every fifth year as a major concern and it has taken a committee about that long each time to resolve some of the issues. So we thought, well, why not make it a permanent committee? But it may be an idea we want to rethink on Friday.

Recommendation Six, that potential new members be considered every five years, is an idea that we stole from AAU, which opens a window every fifth year. We are interested in your reaction to that and to the remaining recommendations.

MR. LEINBACH (Tulane University): I am curious about why you settled on this every five years--just copying AAU?

MS. WOODSWORTH: Well, no. There has been a pattern of moratoriums within ARL that seems to suggest that there is a natural fifth year opening from time to time.

MR. LEINBACH: This would be as opposed to considering memberships continuously, is that right?

MS. WOODSWORTH: Yes, which is what had been happening until a year ago.

MR. LEINBACH: Was this just to avoid going through the process of deciding?

MS. WOODSWORTH: In part. Also, it was to make consideration of members a more regular occurrence, rather than some years having a mushroom and some years having none. Some basis of comparison also would afford itself if a group is considered rather than just one or two at a time.

MR. TALBOT: We ought to think of these points not as settled, but as issues about which we are asking the membership for their opinions. There is a revenue impact, for example, if there is no growth in membership. There are some other questions here that we ought to consider.

MR. PETERSON (Southern Illinois University): The report calls for a five-year review of new members. Does this imply a review of existing members every five years?

MS. WOODSWORTH: The way that we had looked at it was that this would be an annual review, because the data to construct the index are collected annually. The index, which is one of the criteria for membership, is examined annually. If you look at Recommendation Seven, there are some points in there that institutions have a maintenance level that should be monitored also. Thus it would be an annual review, and that harked back to a relationship to a standing membership committee that worked with the Statistics Committee.

MR. WYATT (University of Rochester): Anne, I would suggest that maybe for the sake of symmetry or perhaps fairness that since we collect or require an institution seeking membership to provide us data from four years that the matter of membership be kept to no longer than the number of years that we require those data, so that the review would be every four years rather than every five years.

MS. WOODSWORTH: Good thinking. As you see farther down on the page, we did have some difficulty in playing with four years versus five years, but you are right; it ought to be consistent.

Are there any other suggestions on these so far?

MR. CAMPBELL (Duke University): Just one question. You mentioned that by clustering applications every five years it would allow some comparison. Is there any thought, then, that there will be the best one, the best two, the best three? Are we talking about an absolute criterion for membership or is it going to be comparative?

MS. WOODSWORTH: We had talked about a finite number. One of the reports we looked at indicated that there was a natural cluster of institutions that might qualify for membership and we had discussed that. We have not really decided on those things at this point, so any suggestions or strong feelings that you have, we would really appreciate knowing at this point.

Any other comments?

MR. GHERMAN (Virginia Polytechnic): I am new to the Association and there seems to be some underlying movement in what I read, and I am not so sure we have defined what we are about here. You said there is a natural affinity, and somewhere I read something that maybe there would be 150 potential members. One could say, well, if there are 150, then why are not there 150 members in our group? It appears that what we are looking at is saying, yes, there are 150, but we really do not want 150; we want something less than that.

If there is a natural affinity, then why are not we allowing that number in? If there is a mutual good and mutual support from what the principles of the Association are that we support one another, then why should we not allow or invite all those libraries that fit into that category to join? It appears we are putting hurdles or restrictions on something that, to me, does not seem to fit with the stated reason for the Association.

MR. TALBOT: It is possible to view it that way. But if you recall Kendon Stubbs' earlier papers—Kendon is here in case you want to ask him a particular question--what we are really trying to get at here is a way of defining the communality of the organization which would ensure, to the extent that we can, that members will have common interests. The number of 150 is based upon some extrapolations of some statistical studies which seem to indicate that the number of institutions that share common statistical characteristics is in the vicinity of 127 or so, plus whatever we can derive from the Canadian institutions.

MR. SHAUGHNESSY (University of Missouri): As I read Kendon's paper, it seems to me--and, Kendon, you correct me if I am wrong--that as more members are added to the Association, the index score, however we calculate it--and that is another question--drops gradually. Kendon explained this quite well, but I will be darned if I can recall. But the score keeps dropping, and so conceivably, or at least hypothetically, as the score drops, another group of libraries becomes close to qualifying, and as that group is admitted, the score drops and another group of libraries comes close, etc. I see the question as to what extent does ARL eventually become a CRL, or vice versa.

MS. BEGG (Boston University): It seems to me the whole thing is a continuum anyhow. Saying that we are looking for communality is not the whole of the truth. We are also looking for a measure of exclusivity, which is okay, but I believe it is a chicken-and-egg situation. You determine what you are about before you can determine the cut-off, rather than the other way around.

MR. TALBOT: I do not mean to monopolize this, and I am sure that Kendon can speak better than I. But if you looked a little further into Kendon's paper, Tom, you saw that he suggested a solution to this constant dilution of the data, which is to base the computation of the index on some set of members. That means the formula would then remain approximately the same and no new member data would dilute the index. One of the questions we want to raise specifically in this meeting is whether the membership believes that this ought to be. For example, one of the suggestions is that the index should be based upon the 35 original university members in 1932, and the effect of doing that is to stabilize the computation.

MS. WOODSWORTH: There is also a question of where you draw the line. I believe that is what we are really getting at.

MR. PETERSON: I was looking in the report for the reference. I did not find it, but, Kendon, you might be able to cite it for us where you mention a set number of institutions. It occurred to me as I was reading the report, since the index fluctuates a good deal and you can make a case for or against using the 1932 members or the 1961 members as a case group, that perhaps there should be an optimum number of members based upon what the goals and objectives and the mission of this Association are. Is 100 members or 125 members or 150 members an optimum number? If there is an optimum number in terms of the range of programs that we are trying to accomplish, then it seems to me that the institutions selected would fit within the top range of the index of that optimum number.

Kendon, you may want to elaborate on that.

MS. WOODSWORTH: I had hoped that we could save and lump all the questions on the index to a later part until we get through some of the other principles that the task force had been looking at, to try to make this discussion of the index a little more cohesive. I will ask Kendon to respond later; is that all right?

I would like to steer us back to the committee's report and Recommendation Seven, where we talk about the principle of making the entry level and the maintenance level for membership one and the same. You will recall that as of now, or until the moratorium, they were two different points in the index; that is, there was one point for entry and then a lower level for maintenance of membership.

I would like some reaction from you on that as a concept.

MR. CARRINGTON (Rice University): In French we say, "plus c'est change, plus c'est continue," or in Texas French, "c'est la meme damn chose."

We have talked about quantitative statistics, the quantitative index, and it does not mean a damn thing. I believe that the whole question of Recommendation Seven should be postponed until we discuss the index itself.

MS. WOODSWORTH: So you do not want to separate the principle from the actual line that is drawn?

MR. CARRINGTON: No, because the index is concerned with the principle, too.

MS. WOODSWORTH: Is it your wish, then, that I not proceed with the rest of the subsections under Recommendation Seven and just move right along?

SEVERAL MEMBERS: Yes.

MS. WOODSWORTH: All right, I will do that.

Before we start on the discussion of Kendon's paper, I would like to ask Richard Talbot if he would give a summary of the report and any technical points that should be made.

MR. TALBOT: I really do not think it is necessary to summarize very much. We need to pose the question of whether the membership wishes the index to be changed in the ways that Kendon has suggested. The first one is to base the index on a calculation which includes a defined set of members, i.e. the 35 university members that were charter members of the Association, and the second one is to reduce the number of variables from ten to five, for the reasons that Kendon indicated. It is easier to understand and it does not change the basic index very much, although it does change the positions of some institutions and it would require a determination of new entry and maintenance levels. Those are the two fundamental questions and really summarize very much of what is in Kendon's paper, although one can elaborate on both of those in considerable detail.

MS. WOODSWORTH: Kendon, was there anything you wanted to add or did you want now to respond to the earlier question, perhaps?

MR. STUBBS (University of Virginia): The figure that Ken Peterson quoted and somebody else mentioned of a natural group of about 150 research libraries is a figure taken from an earlier study I did of about 3,000 academic libraries in the country. That study found a cluster of around 150, including all the ARL members. It is true, as the index is currently calculated, that it tends to leave the bottom open for new members, and as more members, join the complexion of the Association, so to speak, shifts in the direction of the newer members. So it seems pretty clear that if, in fact, we did wave a magic wand and bring in 150 members, then we would find that there would be 10 or 20 more who would be very much like the newer members. The best suggestion for obviating that difficulty if the index is retained is the suggestion of picking a standard group like the 1932 charter members and basing criteria on that group. That would set a constant level that would not continue to move downwards as new members came in.

I wanted to say in regard to Paul Gherman's point about whether there may be a hidden agenda here, if you look back through the minutes over 20 or 25 years of ARL meetings, you find constant discussions of membership and constant statements that the membership ought to be frozen or constrained in some way. There has been, to a neutral reader of the minutes, a strain in ARL during the last 20 to 25 years of some wanting to try to control membership.

MS. WOODSWORTH: The task force had assumed that the index would be retained as one of the criteria for membership, but that assumption, of course, is also open to discussion, as Richard pointed out. So if you have any thoughts, now is the time to tell us.

MR. DE GENNARO (University of Pennsylvania): Well, I have been around, I guess, now for a long time. In response to Paul Gherman, I believe that we ought not to beat around the bush. A lot of us have felt that the organization, if it gets too large, is going to be diluted and its purposes will be defeated.

I, for one, have always believed that there should be some kind of a slowing down of the growth of the organization. I believe that Kendon has come up with a rather good solution. The best thing I have seen so far is this idea of basing the index on the first 35 members, the original members and, that way, keeping the index from slipping. I would also support the idea that he had of reducing to five the number of criteria that are measured in the index.

I see a real danger. If we continue to grow, ARL is going to become something different from what it was. The membership can decide if it wants that, but I am just stating my own view, which is that we ought to figure out a way of capping this growth; we have put an enormous amount of effort into this over the last several years. I would like to come out in favor of Kendon's suggestions here.

MR. CARRINGTON: To a limited extent, I back you on that, Dick, but I would like the index to be qualitative, not quantitative. But the index is not qualitative; it is quantitative and professionally-oriented.

MR. DE GENNARO: I just do not see how you are going to get any kind of a qualitative index. These committees have labored on that, and I have thought long and hard about it myself. I do not believe that there is any way we are going to come up with a qualitative index. But maybe the members of the committee would comment on that.

MR. FRANTZ (University of Virginia): Some years ago, I served on the Membership Committee, to determine how we could stop this erosion. I support what Kendon has said and what Dick DeGennaro said. We would think of such things as, well, we are research institutions; why do we not measure our rare books, our manuscripts, our Ph.D.'s, the methods of research? But most of these did not seem to be useful measures. For the first time now we do have them and I would support Dick and I would support what Kendon has done as offering for the first time a way to stabilize the membership. We should see how this works. We have had membership task forces, one after another, and we have never made any progress until this point. We should take this opportunity and then evaluate it.

MR. PETERSON: I agree with what has been said about the erosion of standards for membership in the Association. I am concerned, however, and disagree with what has been said about the 1932 membership group and the 1961 group. It seems to me that if we go back 54 years or 25 years and take a certain analysis of the membership at those periods that we are disregarding periods of great, dynamic growth and change in academic libraries. We know that during the post-World War II years and again in the 1960's, there were major changes and major growth in libraries that affected the effectiveness and the quality, as well as the quantity, of those institutions. These changes--the emergence of the importance of microform collections, the emergence of interlibrary lending, the development of collections of non-print materials--would not be reflected in the 1932 membership group at that time or the 1961 group.

I agree that we need to slow the growth of the Association, and I would favor that. I would rather favor it, however, in terms of saying what is the optimum size of the group? Are we saying that there is an optimum size for the Association, and if there is an optimum size, to work within that optimum size and then to use the index as a means of arriving at which institutions would be within the range of that optimum size?

MR. CHAPIN (Michigan State University): If we do this, if we have an optimum size, we will have no growth. Then as long as we have programs, our dues are going to go up, up, up, and up. We are not going to have a staff sitting in Washington that does not get pay raises. We are going to have inflation always going on. Richard said that while we have got a freeze on, we are going to lose members, and we need the money. We get money two ways. We add more members or we increase dues. If not, we can cut programs and go back to the old ARL--have it be a discussion group rather than an action group. We have to make these choices with it.

MR. DE GENNARO: Which choice do you make?

MR. CHAPIN: I would limit the membership of this Association to those schools that are members of the College Football Association.

MS. WOODSWORTH: Are there any other concerns or issues in and around this question that you would like to raise or bring to the attention of the Membership Task Force, the Statistics Committee, or the Board?

MS. HOADLEY (Texas A&M University): There is one thing that I would like to put forth for consideration. One of my real concerns about the index and the criteria for membership in the Association has always been that everything has to do with size. Although I would not suggest a qualitative index, I believe something else that evaluates access and evaluates services, which is spoken to in one of the documents, is needed. Would it be possible to have, in a sense, two indexes? Continue the size index and let that stand as it is, and add a second index that would try and get at some of the new types of services and some of the services that are offered in ARL libraries?

MS. WOODSWORTH: Ted, did you want to respond to how the Statistics Committee has been trying to get at those kinds of measures?

MR. JOHNSON: The committee has been trying very cautiously and slowly, Irene, to look at and explore other categories that we could measure, e.g., service numbers, access definitions--something of this nature. If you have looked at the questionnaires this year for Statistics, and particularly for the Supplementary Statistics, we are trying for the first time--based on some of the discussions we heard expressed last May, based on the task force's suggestion that we try to explore some new measures--to gather some information to find out what member libraries are now collecting in the way of data in areas that one might call service or access. It is a little early to tell. It is a fuzzy area, and it is not yet clear what results we will get. Many people do not really collect or count the kinds of things we are asking for, but we are trying.

That kind of an index perhaps could be built; it would take quite some time to do it. Our experience is that it takes a minimum of three years to introduce a new data element and bring it to any kind of useful comparability in the way it is understood and reported. One of the key reasons is that data collection in many libraries is built around what we ask for in the Statistics, and one cannot ask for information from past years on a new item. People cannot go back and count something they have not counted, so they have to count forward. If their fiscal year has already started, which it often has by the time we put out questionnaires, we have lost a second year. And it usually takes a couple of years just to get through the business of unexpected definitional questions, hence the three-year kind of figure.

Is that responsive?

MS. HOADLEY: Yes, that is responsive, and I am not saying that we could do this overnight. But I am saying that this is, I believe, something that we could at least consider to provide a different kind of measure. It may end up that what you are going to get is a ranking that would be very much like what the quantitative index shows. I believe that probably would not be the case, that you would get a somewhat different index, as the preliminary work that you have already done shows.

But if we do not start at some point, we are never going to get there, and I believe it is a matter of the Association deciding that we need to start, that we need to look at some of the other types of activities that libraries do.

MR. JOHNSON: Let me just respond on another matter. The committee has been also concerned about the degree to which the Association is really interested in pursuing that. We hear this kind of plea from people like yourself, Irene, but we hear equally from others that this does not make any sense; it is too hard to do; we are already putting too much effort into data collection. If we want to pursue this direction as an Association, we have to decide to do it and not leave the Statistics Committee dangling out there like an open target. We end up without a lot of understanding, then, amongst the various institutions. We need to agree we are going to do this, and then we have to agree to sustain the effort within our libraries. It is going to mean a lot of effort and time on the part of our staffs to collect these kinds of data.

MR. DOUGHERTY (University of Michigan): I do not know if this is the proper time to raise my point because I do not really want to join in the discussion of whether the index should be used as a membership criteria. There probably is not an easy answer to this, and if one wants to level out the organization, I suspect that the approach that Kendon has suggested may be the best of the alternatives that have been presented to the membership.

I want to go back to the question that this index was evolved as a way to determine membership. Clearly, it is based on size and communality among institutions. Then we started publishing it. That published index has caused me more anxiety and more difficulty because it is being used or misused as a qualitative ranking of institutions. I just noticed a publication that I believe comes out of the University of Georgia, or possibly Georgia State, in which a researcher in higher education, I believe, is trying to find a new way to compare research universities. He goes on to say, but we do not have to worry about libraries because the librarians have put together a qualitative ranking for us.

The majority of this membership seems to want to publish the index. I would like to know what the benefits are. I would like these directors to get up to the microphone and explain to me why it is so important that we have to use that index to rank ourselves qualitatively when we all know, as Irene said, that it is based on size and it was supposed to be used as a way of selecting members.

MS. WOODSWORTH: Would anyone care to respond to Dick Dougherty's question?

MR. GOVAN (University of North Carolina): I felt compelled to rise, Dick, because I was the one who made the ringing statement about publishing it last time. My feeling about that is that if we collected it, we should publish it. And if, in fact, we are going to publish it, we should not publish it as a confidential document. It seems to me that those are different principles involved. Whether we publish it or not or just use it as a membership instrument seems, from my point of view, irrelevant. I gather from yours, Dick, that it has some values attached.

But if I may, Madam President, while I am here I would like to get back to Dick Chapin's point because I believe what we are really talking about here--whether we have an index or do not have one or whatever type it is or whether we have two or three or whatever--is the nature of this organization.

Our problem essentially comes down to trying to have it both ways. We are trying to do two things at once. There is a nostalgia for the old discussion group. There is also the aspiration to an action-programmatic group. Until the membership decides which of those two things it wants to be, no index or any other kind of device is going to solve the problem. I would like to hear some discussion of which of those two we would like to be.

MR. FORTH (Pennsylvania State University): Either I have missed something in the reading that was sent to us or I have not been here or I have dozed off, but I do not quite understand--I am with Dick Dougherty on this--what are we supposed to do with the index when we have all of the regular statistics?

I have always found those statistics extremely useful. For one thing, even though I know they have certain elements of garbage in them, it is generally understood, I believe, by the membership--and they are men and women, in good conscience, when using them I am sure would say they are gross indicators--that the Statistics are not all that accurate or all that specific. But all of us try to be reasonably honest in giving the best picture we can. With the proposed new data, we are just putting "unavailable" on every one of them, in view of the fact that the Statistics Committee is asking for data that are almost impossible for two full-time accountants and a business manager to dig out of my librarians, who took the point that they have far better things to do than count the number of gift maps or the number of gift volumes or whatever it may be when they are already reporting the total. I tend to agree with them on that basis.

But the index itself--when did it first come up? When was it first used? Can someone tell me?

MS. WOODSWORTH: It was a result of the last membership task force.

MR. FORTH: One cannot help but be reminded of Lloyd George in packing the House of Lords when we talk about what is going on here.

But back to the index, we have found it not useful. Our faculty, in their innocence, see it and say, wow, look how good you are, what great shape you are in; why, that being so, can you not do this, this, and this? All our explanations to the contrary work against us. I cannot see the use of the index at all.

MS. HOFFMANN (York University): I would like to come back to the earlier discussion about using a base group. Just as I feel a lot of discomfort about collecting the index, calculating it, sending it out, and promulgating it, I feel some discomfort about using a group of libraries that were research libraries 50 years ago. It seems to me that what we would be striving for is what were research libraries 50 years ago, and I am worried about the appearance, at least, of that. I wish we could find a better core group to measure from than the libraries who happen to be the first members of the Association of Research Libraries.

MS. WOODSWORTH: Jim, you were next.

MR. WYATT (University of Rochester): Yes. I am back to the index. That index has been discussed ad nauseum here in the last few years and the index is really merely a tool that was originally designed to do a couple of things.

First, we did want to try to stabilize the membership. Second, we wanted to move away from the use of the raw data in their individual units that the Association had used before and the index gave us a way of doing that. It also gave us a way of grouping those categories where we were most alike and giving them a little greater weight, because we felt that was where we had our research qualities and characteristics. So we believed that the index provided a fairer means of establishing a base for membership than the use of raw data themselves where one category--for example, where we were least alike--might prevent a new member from joining or might get an old member into membership difficulty. Therefore, we felt that it was fairer all the way around. The way that it has worked out is that the manipulations of the raw data that go through the analysis simply come out to be about the same, no matter what the manipulation.

It seems to me, though, that it was really merely a tool that was for in-house use for ARL. I agree with Jim. I do not think there is any reason why it should not be published, but it does cause us a great deal of difficulty because of misuse. It seems to me that it is perfectly feasible for the organization to say this is a tool we no longer want to use and to discard it. Therefore, it is really a decision that we have to make and if it is causing us this much difficulty, perhaps we ought to go ahead and make it.

MS. TAYLOR (Brown University): I cannot say that the index has either been very useful to me locally or very harmful. But it was developed at least in part to be used as membership criteria and I know there are institutions out there which are looking at how they can achieve membership to ARL. It seems a bit strange to me to be willing to use the index as a measure of how you get in, and yet at the same time say in terms of publishing it or disseminating it, I do not want my figures to be seen because it is not a valid measure of quality. What is it we are trying to measure? If it is valid to get into the organization, then how can we suddenly not feel that it is valid to measure your fitness to stay in?

MR. DE GENNARO: There is a basic question here that we need to answer for ourselves, and that is do we really want to limit the size of the organization, and I am trying to grope for a way of making some sense out of the discussion. The origin of the index, we all seem to agree, was that it was going to be used as a way of helping us to determine who should get in. But the hidden agenda here--it was not hidden; it was a very open agenda--was that, yes, you have got the index to try to limit the membership. But if you are not trying to limit the membership, then you do not really need the index.

The organization has to decide whether we want to limit the membership or not, and if we do, then some version of the index is probably going to be a useful device. Then, if we are going to use the index for that purpose, let's use it just for that purpose. Why do we need to publish the index? It can be an internal document. We can calculate these things. We do not necessarily have to publish it in any way. We have the rank ordering tables and we are all used to those and used to explaining what they mean and what their limitations are. Then, along comes the index. We have got a new one; now, we have to say, well, how is the index different from the rank order tables? People are beginning to choose which one they want to use and it is confusing the issue.

MS. WOODSWORTH: I wonder if it would not be worthwhile to guide the task force discussions on Friday if we took a voice straw vote on the question that you raised. Do we want to curtail the size of this group or do we want to keep it growing?

MR. DOUGHERTY (University of Michigan): When Stuart Forth began, he sort of suggested that maybe he had been out or had been dozing, I was going to say that, yes, he had been dozing. But after I heard his comment, no, you were wide awake, right on the spot, Stuart, in the entire discussion. I am looking at Table 8, which is the five-variable alternative based upon the charter members, and I am struck by the fact, having once spent some time at Berkeley, it is nice to see that Berkeley will jump back over UCLA into its rightful place, second. And I am sure that UCLA will feel that way too, and it is nice to see Stanford moving down to my part of the index. That is probably a correct reflection of the Stanford Library. And I notice Rutgers will be joining new environs, down six. Texas A&M will move down six. A couple of them move up a few, so there are going to be some winners and there are going to be some losers.

The point of this is how the information affects the members. A friend of mine who runs an association said to me, "we never publish information that members do not want published." The organization is supposed to be working for the members, and some of us do not want the index published; some people do. No matter how we tinker with this, if we publish it, there are going to be winners and there are going to be losers, we all know that on some campuses these indexes are taken very seriously.

MR. CHAPIN: I go back to the 99th meeting of this group when Dick DeGennaro told me I could not make an amendment to the ARL index. I did not like the index at that time and I tried to make an amendment. It was a delicate balance that had been developed and we could not change it. We had to accept the thing as it was, so we accepted it as it was. Now, one of the most important things I get out of membership in ARL are the statistics that you all submit, and it is just the bare statistics. I do not need an index, I do not need anyone to tell me how to use these. I will use them my way. I like that table that has got us all listed with the data that we submitted, and I use this data as I need. Sometimes I need it in a public relations way and so I say we are very good. Usually, I need it in a budget way and I say we are very bad. We all use these data in different ways.

Well, someplace along the line after we got the ARL membership index--and that is what I suggested last year; this is a membership index--after we got the index somebody--and I do not think, Dick, anyone made a decision--somebody published it in the Statistics along with the rank tables. We had rank tables on volumes, on staff, etc., and then came a rank table on the ARL index. Well, The Chronicle of Higher Education picked it up and the Chronicle, being a good newspaper, says this is important. We do not really care how many microfilm holdings you have; we do not care how many clerical staff you have. We are interested in this index. I do not believe that it was a decision that this group made at all; I do not believe anyone in this group made it. It is just something that happened. The press said, hey, that is a good figure, let's use it. So they put it together. Now, if we do not have the ARL index, somebody will come up with some other index. We have it now. We have had rankings of institutions and libraries for a long time and there will probably be something else in the future.

I do not believe it was a decision of this group to publish the index; I think it was a press decision that there would be an ARL index that is published.

MS. WOODSWORTH: I believe you are correct, unless someone's memory is better than mine, that there was not a decision of the membership to publish the index.

MS. GAPEN: I wanted to come back to the question that Dick asked about limiting the membership. I had agreed a couple of years ago with our colleague, Mr. Dougherty, who was talking about issues that we were addressing and whether interest in issues related to the size and complexity of our universities. At that time, I felt that it did and I still do. I believe that the range of issues that we face also face almost every library in the country. The size and complexity of the institutions that we are in change very much the way that we deal with that range of issues. The focus of ARL in trying to resolve those issues in very large, complex institutions is an important focus and we need to keep it. If you believe that, then you think that there is going to be a finite size. It may grow somewhat as institutions change, but there is a finite group of institutions.

If we do a little reality checking, we look around our states and we know it is true. We could probably count on one hand the other institutions that we believe are comparable to us in the things that I am talking about right now. I want to ask Dick if he wants to call it a different name and if it would make any difference. I said at the last meeting we should call it the positioning of optimal highs, which made it the POOH index. And since it is perplexing, it could be the POOH-Perplex index.

The index is a composite of numbers. We could easily look at the elements of those numbers to set the criteria for membership and just call it something, or keep the index and call it a membership criteria index.

I would speak for a limited size that relates to the issues that we are facing, and you must have some criteria for deciding whether institutions are part of the group. For Paul, with whom I worked for many years, it is like that old Baptist hymn: "for those people who are not in it, it is almost but lost."

MR. SHAUGHNESSY (University of Missouri): A couple of previous speakers raised the question as to whether the size of the organization affect the nature of the organization. I believe that is a very important question. As ARL grows as an organization, we have to face the fact that there are competing organizations these days; maybe there were not before, but there certainly are today. A few that come to mind are, of course, RLG, the OCLC/RLAC group, the MASUA group, the CIC group. What these other groups are telling us is that there are groupings of communalities that need to be paid attention to, and that those groupings and that focus are lost as membership expands.

MR. FORTH (Pennsylvania State University): Does this happen every five years that we anguish over whether there should be more members? It is the first time I have really be conscious of it, I guess, because all of a sudden I look around and there is old so-and-so and I am glad to see him. What are you doing here? I am a member. Well, that's fine. But how long--I wanted to reiterate that point--can it keep growing indefinitely? It did not surprise me that Mr. Gherman, with whom I also have worked, brought up the question at today's session. With due respect, Paul--he is a product of the 60s; he was in the Peace Corps; he believes in small "d" democracy and all that kind of thing. But does an academic group have to be democratic? Is there any reason why we have to keep considering new members? If we choose to, we can stop doing that, can we not?

MS. WOODSWORTH: I think legally we can do that somehow. We have done it in the past.

MR. FORTH: So why do we worry about it? Why are we making this fuss? We can do it, but we can also not do it.

MS. WOODSWORTH: That is what we are discussing.

MR. FORTH: Yes. I am on the side of do not let anybody else in for another five years.

MR. DOUGHERTY: I would like to support what Kaye was saying. I suspect, as one who is interested in group dynamics, that ARL is already large enough and diverse enough that whether we have 110 members or 127 or 150, we will probably not change the group dynamic. The challenge to ARL is to figure out some way to structure either governance or meetings so that those that really have common problems or common issues can work together.

I must say this is a difficult challenge because most organizations find that when faced with this, instead of coming to grips with it and working from within, the history of organizations says you have the formation of a new organization. The most recent and the most well known was alluded to earlier, the College Football Association. The NCAA could not deal with this issue and finally forced those who believed they had a different agenda to leave the organization. The irony of it, in my opinion, is everyone or almost everyone, is the loser.

So the question of the size of the membership, as Stuart is saying, may be a phony issue because we are not going back to the good old days. That is a straw issue that keeps getting raised. We cannot do it. We are an organization of 106 or 118, or whatever it is. It is very unlikely it is going to shrink much, so we should simply pick a number or use the index and then really get to the problem of trying to make this organization work more effectively from within.

MR. FORTH: Dick, there is one thing I would ask about your comment on the dynamics of the Association not changing much if the membership gets to be "x" number, whatever it was. But equally, though, the bigger it gets, the more likely it is that groups within it are going to sort of isolate themselves and say, "Well, we are all AAU universities; therefore, these are our concerns as AAU universities." Or, "we are all Ivy League universities," or "we are all non-land grant," or "we all are land grant." So you are going to wind up with a federation of a whole bunch of little groups who say I have more identity with Eldred Smith and Kaye Gapen than I have with Dick DeGennaro and Jim Myers, who are just a couple hundred miles away from me. That is a problem of size, too. The bigger it gets, the more likely that is going to be--as a matter of fact, some of us have talked for a number of years. Should we have an informal land grant caucus within ARL? It has never come to anything, and maybe that is good.

MS. WOODSWORTH: Thank you, Stuart. I would just like to comment on something that you mentioned earlier, and that is the "unavailable (U/A)" on the questionnaires. You and I have more of an affinity, and maybe we should form a group within ARL that answers "U/A" on the statistics questionnaire.

MR. GOVAN (University of North Carolina): The reason I rose to speak is I am on the task force and face this horrendous meeting that is happening Friday. I raised the question about whether we were going to try to go back to a discussion group or continue becoming an action group, which is another way of asking whether we want to limit membership or not. What has been said on this topic is perfectly true. I would, however, for the guidance of the task force, like to see you follow through with what you suggested earlier, and that is some kind of straw vote among the membership so that we will know whether, in fact, we should be trying to limit membership.

A VOICE: That is just the suggestion I was going to make. Let's take a straw vote.

MS. WOODSWORTH: Thank you, okay. Show of hands or voice vote.

A MEMBER: Show of hands.

MS. WOODSWORTH: Show of hands. Did you want to speak first? Eldred Smith is also on this horrendous task force.

MR. SMITH (University of Minnesota): I would like to know what we are voting on. The criteria, if we apply any kind of criteria, are in themselves a limiting factor. It sounds to me that the issue is really whether there should be a cap on the organization. We need to understand what the question is before we vote.

MS. WOODSWORTH: As I read what people have been saying, I believe it is, "should we stabilize the membership at around its current size?"

SEVERAL MEMBERS: No.

MS. WOODSWORTH: It is different?

MR. TALBOT: An absolute cap or a restriction--there really are three possibilities or a range of possibilities. We have to distinguish whether there is going to be a cap or whether there is going to be a restriction versus the more open approach.

MS. WOODSWORTH: Well, I am confused, then. Guide me. Should I do several straw votes in a series, narrowing possibilities?

MR. TALBOT: Ask the question on the cap first.

MS. WOODSWORTH: All right.

MR. WYATT: I would like to say one thing. First of all, the organization has always limited membership. We have had criteria and we have always limited membership. We still want to limit membership, but I believe perhaps more than placing a cap and simply limiting it to a given number, we really want to limit the rate of growth of the organization. It seems to me that perhaps what we ought to look at is a way of limiting that rate of growth. Perhaps we would like the organization to grow at no more than 1% or 2% a year, something like that, rather than an absolute number.

MS. WOODSWORTH: So I can make that one of the issues that we do a straw vote on.

MR. RUNKLE (University of Chicago): I believe a straw vote is a good idea. I would suggest that we take a break and the committee structure a series of questions for a straw vote.

MS. WOODSWORTH: That is a good idea. I ask the committee to collect at the front of the room.

[A recess was taken.]

MS. WOODSWORTH: The members of the task force met during the break and came up with three possibilities that we would like to put before you in a straw vote. I should point out that we assumed that the window of every fourth or fifth year will stand, no matter what, if there is not a cap on the present size of the membership. I am taking this as guidance for the task force on Friday. This is not a formal vote on what the ARL will be. That will come out in the form of recommendations from the task force, I hope, for discussion at the May 1987 Meeting.

These are the three possibilities for us to pursue: 1) cap at the present size, 2) cap at a higher number of members, and 3) controlled growth on the basis of what is proposed in Kendon Stubbs' paper, which would restrict the size of the organization to approximately 150 at some point in the future. The implications of either limited growth or capping at the present size are, of course, the financial implications of reducing programs and activities or agreeing to live with an escalation of our membership dues.

So those are the three questions. I will repeat them and then if you have any questions or comments to make before we ask for the straw vote, I would be happy to do that. One, cap at the present size. Two, cap at a higher number. Three, controlled growth on the basis of Kendon Stubbs' paper.

A MEMBER: How about lowering the size?

MS. WOODSWORTH: Lowering the size? I can add that. There is also the question of unlimited growth, which the task force did not propose.

A MEMBER: I would like that one added.

MS. WOODSWORTH: Would you like unlimited growth added?

A MEMBER: Cap at a lower size.

MS. WOODSWORTH: Cap at a lower size. I will put that one first because they seem to form a progression. Comments?

MR. FORTH: May I ask a question? Did you say that if we do not agree to further growth that we will have to raise the dues?

MS. WOODSWORTH: Or reduce programs and activities. There are some implications for that direction.

MR. FORTH: But is there not a dues question on the agenda for this meeting anyway?

MS. WOODSWORTH: Yes.

MR. FORTH: So is this separate from that?

MS. WOODSWORTH: Definitely.

MR. CARRINGTON: Can we vote for more than one?

MS. WOODSWORTH: I do not see why not. What I am looking for is guidance that will help us come up with some solutions on Friday. So, if I could have a show of hands at capping at a lower size.

(A show of hands.)

MS. WOODSWORTH: All right. Capping at the present size?

(A show of hands.)

MS. WOODSWORTH: I do not think I need a count. In terms of hands and heads and relative proportions; I can figure it out.

Capping it at a higher number?

(A show of hands.)

MS. WOODSWORTH: Controlling growth on the basis of Kendon Stubbs' paper?

(A show of hands.)

MS. WOODSWORTH: If you want me to rank the votes for you, controlling on the basis of Kendon Stubbs' paper came out at the top of the list. Capping at the present size was next, then capping at a higher number, and capping at a lower size.

I did not ask about infinite growth. Would you like me to do that?

A MEMBER: Yes.

MS. WOODSWORTH: Yes? All right. Infinite growth, no controls.

(No hands were raised.)

MS. WOODSWORTH: Unless other members of the task force feel that we need more guidance than this has provided, I would like to move on.

The ARL Library Index

MS. WOODSWORTH: I would like to report to you on the Board discussion of the index. As you will recall--and I got lots of fan letters on this--following the Membership Meeting last May, the Board tabled a discussion of a membership vote on the index and a discussion about the logistics of publishing the 1984-85 index. The Board resumed discussion of these topics at this meeting. It was agreed that the 1984-85 index would be issued as a non-confidential document to directors and other subscribers, and would also be included for publication with the statistics when they are published for 1985-86. However, any member that does not wish to have its index score for either year included in this publication is asked to notify the ARL Office for the 1984-85 data by November 15, 1986 and, for the 1985-86 data, by December 31, 1986. The index would then be printed with a list of exclusions at the bottom.

The Board also discussed the need to call the index something other than the ARL Library Index in order to help overcome some of the misinterpretations that are made. While we did not reach a conclusion, some of the alternative suggestions were Library Quantitative Index, ARL Membership Size Index, ARL Membership Criteria Index. We welcome your suggestions.

Since the motion to publish the index made at the end of the May 1986 Meeting was very fast and there was very little discussion, I believe we should reconsider that question, now that we have had a fuller discussion, so we have a clearer expression of the membership's preference in this area.

Shirley, did you check on parliamentary procedure? Do we need a motion to rescind or do we need a motion to reconsider?

MR. LAIRD (University of Arizona): I made the motion I believe a motion to rescind to reconsider such a major action of the group is required, and it will take a two-thirds majority.

A MEMBER: No, this is a new meeting, so you can do anything you want.

MR. LAIRD: Is that right, Shirley?

MS. ECHELMAN: I just checked in Robert's Rules of Order and that appears to be the case.

MR. LAIRD: Fine. I will make my motion again. I move that it is the sense of the membership that the ARL index should continue to be calculated and published.

MS. WOODSWORTH: Is there a second?

MS. HOADLEY: Second.

MS. WOODSWORTH: Discussion?

MR. WEBER: Can we later vote on the index with a limited title?

MS. WOODSWORTH: You can amend the motion.

MS. MARTIN (Johns Hopkins University): I am going to speak to the motion. I am not in favor of the motion in large part based on the discussion this afternoon. Like Dick Chapin, I have found the index useful in my local context. But within the ARL environment, it is really more of a hassle than it is worth. I would see its best use as an internal tool for the purposes of membership criteria.

MS. WOODSWORTH: Thank you. Does anyone else wish to comment?

MR. MILLER (University of Notre Dame): If the motion fails, does that mean that the Association cannot compile the index?

MS. ECHELMAN: As the motion is stated, it is "calculate and publish." Perhaps it should be separated into two motions.

MR. LAIRD: It seems to me that to vote "no" on this motion does not change anything. It does not say "do not compile." The Association never voted to compile the index in the first place, correct?

MS. DAVAL: The report of the Task Force on Membership Criteria which was adopted by the membership in May 1980 includes calculation of the index as part of the membership criteria for university libraries.

MR. LAIRD: So can I withdraw my motion?

MS. WOODSWORTH: You can withdraw or amend your motion.

MR. LAIRD: All right. If the seconder will agree, I will amend my motion to say that it is the sense of the membership that ARL should continue to publish the ARL index, or whatever it turns out to be named.

MS. WOODSWORTH: Does the seconder agree to that?

MS. HOADLEY: Reluctantly.

MS. WOODSWORTH: The answer is yes. Further discussion?

MR. STUDER (Ohio State University): I believe there is an unrepresented group here, maybe even a majority, to whom this issue is a non-issue. The index has never served any particular purpose for me, neither has it done any harm, and it is immaterial to me. If it harms people, I would like to see the publication cease. If it does not, I would like to see it continue for those that like it. But I am only allowed to vote aye or nay, and so my position cannot be recorded in this kind of a vote. I have a feeling from the corridor conversation that I have some compatriots that share in that sentiment.

MS. WOODSWORTH: Would you like to respond to that?

MR. DOUGHERTY (University of Michigan): I suspect you are right, Bill. The majority of the members do not care one way or the other. There is a minority of us who feels negative; there is a minority that feels positive. I have informed ARL that the University of Michigan will not provide data if the index is going to be published. We are one of those it has harmed. We do not support the index. We would ask that ARL publish data but not rankings. Or, if we are going to deal with rankings, I would urge that we find a way that we can do it so that we feel comfortable. But we probably will never achieve that state. Thus, why publish information that benefits some members but harms others? Such a practice tends to weaken the fabric of the organization, and that, I believe, is the root of the problem.

MR. TALBOT (University of Massachusetts): As a point of information, should we define what we mean by publishing? Is that restricted solely to publishing it in the index annual Statistics? Would the index continue to be compiled under this motion and distributed to the directors?

MS. WOODSWORTH: Would the mover and seconder be able to clarify that?

MR. LAIRD: Maybe the seconder ought to clarify it.

MS. HOADLEY: My clarification may not be the same as yours.

MR. LAIRD: It does not matter to me if it is published, I guess, in the sense of broadly published. But contrary to Dick Dougherty, I have had very positive uses of the index and it is one of the reasons I feel fairly strongly about it.

In 1982, the University of Arizona was required to give back $10 million to the state, and $900,000 of that was directed to come out of the library book budget; that is a big chunk of money. The directive came out in the fall, and thus eliminated our flexibility. It gave us no opportunity to give that money back in another way. The administration has looked at the index subsequently and asked if the cuts did, in fact, hurt the library. And I could show two years later that we fell several places in the index. The index was useful to me in that context, and I see it as useful to others in a similar comparative way. I do not like it if it hurts other libraries. I do not like that aspect of it, but I do not know how to get it without having it to use.

At the Board meeting, one of the alternatives suggested was that we permit those members who did not want to be included in the index to submit their data to be used in calculation only and then have their names eliminated from the list that is distributed. I have no problem with that; it seems a reasonable alternative. If institutions are being harmed, they need a way to protect themselves.

MS. WOODSWORTH: I am not going to let you off the hook yet because in my mind you have not clarified or answered the question that says whether it is a publicly-available document or it might still be available only to members.

MR. LAIRD: Irene is going to clarify it for me.

MS. HOADLEY: My definition of publish would be distributed in any way, and so if you are distributing it to the membership, that is general information that should be available to anyone.

MR. LAIRD: I agree.

MR. CARRINGTON (Rice University): David touched on a very sensitive point: publicly-financed institutions as opposed to privately-financed institutions. David, you are using this as a political weapon with your administration, and, in effect, the state legislature to get financing. Private institutions do not have to use the index as a political tool to get more money. We can use this as a private document just with our own administration.

MR. RODGERS (University of Miami): Bill Studer made a valid point about the existence of a body of opinion that really does not care whether the index is published. I am puzzled, however, by his suggestion that there is no way to indicate that opinion. Surely, an abstention takes care of it.

MR. DE GENNARO (University of Pennsylvania): David Laird pointed to an instance where he benefits from the use of the index. Dick Dougherty is stating another where he is hurt by it. It seems to me that when some people are going to be hurt by something and some people are going to be helped by it, maybe we ought to be very cautious about having the Association take a position of publishing it, since it is going to hurt some of our members. I believe that the potential harm to members is more important than the benefit some can make of this. The index should be used as a part of the membership criteria, and if it is going to be distributed, it should be distributed for that purpose only.

MR. MYERS (Temple University): I would like to ask a question. Is it not possible for anyone competent to calculate the index on his or her own?

MS. WOODSWORTH: Yes.

MR. MYERS: Then publishing the data from which the index is calculated with the index itself seems to me to be the equivalent of publishing a phone book without the area codes.

MR. STUBBS: I was going to speak to that point myself. Actually, anybody with any number of simple software packages can calculate the index and publish it in the Journal of Academic Librarianship or any number of publications. The issue here is that ARL by having its hands on it gives it its "good housekeeping seal of approval." The real question is whether ARL should be putting that seal on the index by publishing it.

MS. WOODSWORTH: Thank you very much. Irene?

MS. HOADLEY: I am a little concerned when I hear the discussion about the index being good for some of us and not good for others. I believe that is probably true of almost every program that ARL has. Some of us benefit from a legislation program more than from other programs, and you could go right on down the list. If we establish a precedent by taking no action in this case, we are setting ourselves up for making that same kind of decision about every kind of program.

MS. SLOAN (Indiana University): Irene, I would like to speak to your point about the extent to which programs benefit or do not benefit individual members. I believe that is quite different from the issue of doing harm to a member. The point Dick and Sue raised was one of harm to the members. I would say that if there are other programs that are harming members, we ought to take a look at them.

I also wanted to speak to Kendon's point; that is, it makes a difference, I believe, if we have the ARL imprimatur on a set of statistics.

MR. CHAPIN (Michigan State University): I would like to have it noted that Dick Dougherty's library is stronger today than it was in 1980 when we first started calculating the index. I do not know where all this harm is and what it has done. I agree with Irene; I get nothing out of the retrospective conversion—I want my $500 back. I had to pay the $500, and the program is doing harm to me in the sense of the books I am not able to buy with that $500. So do I have to participate in this? Can I withhold my $500?

The Membership Committee set up the index in 1980. It has been published ever since then and now all of a sudden we say we cannot publish it any more.

MS. GAPEN (University of Wisconsin): I see a very big difference between the programs of the Association and this discussion of the index, in the sense that the index is useful as a membership criteria. It measures size, and we have said that size and complexity are important elements in determining membership.

We have also said that we would like to use that index in continuing to assess the proper growth of this group. It is being used, because of the ambiguity of the title and the fact that it is a shorthand mechanism, to say something about quality and, as we know, there are many elements to quality that are not being reflected here. I would propose that we use it for its purpose—membership; that we change its name, and that if it is used as a membership criteria, it should be used internally to the extent possible. We cannot keep it out of public consideration if it is going to be used as a part of the membership criteria. But, the index needs to be called something else and it should be distributed, if it is going to be at all, quite differently.

MR. ROSENTHAL (University of California, Berkeley): It seems to me quite possible that in the absence of the published index, attention might be devoted on campuses in a more sophisticated and perhaps a more meaningful way to dialogues between librarians and administrators about the individual components that now make up the index.

MR. RUNKLE (University of Chicago): I agree with Joe, in that the components of the ARL index, insofar as they are accurate, are simply quantitative measures. They should be discussed in a particular context and interpreted in that context. The ARL index, whether we like or not, is taken as a qualitative measure. It is a shorthand way that people can pick up, and that is a misuse. I am not against distributing it, but I would speak against publishing it in the ARL Statistics.

MR. DOUGHERTY: I would like to clarify something. When I said that harm is done, I am not talking about Dick Dougherty. In fact, the administration of the University of Michigan does not like the index, and believes that it does not represent a qualitative measure. When I speak here, I am representing an institution, the University of Michigan, not necessarily just my own views.

MR. TALBOT (University of Massachusetts): I would like to suggest a compromise. Could we interpret publication to mean not published in the annual Statistics, but still distributed to members? I would ask the interpreter of "publication" whether that is acceptable.

MS. HOADLEY: That would not be my interpretation, but we could change it.

MS. WOODSWORTH: Anyone can move to amend the motion on the floor.

MR. DE GENNARO: I would like to offer an amendment along the lines that Dick Talbot just outlined; namely, to interpret "publication" as distributed to the members as a separate document, but not included as part of the published ARL Statistics. In other words, it would be an internal document.

MS. WOODSWORTH: The motion that we are debating is that the index be published.

MR. DE GENNARO: I am trying to define "published" as not being included in the ARL Statistics.

MS. WOODSWORTH: So the motion would then read that the index be published, but not included in the Statistics.

A MEMBER: No; "be distributed, but not published."

MR. DE GENNARO: That the index be distributed as an internal document, but not published in the ARL Statistics.

MR. TALBOT: I second the amendment.

MS. HOADLEY: That is not an amendment.

MS. WOODSWORTH: No. That is contrary to the intent of the first motion.

MR. DE GENNARO: Then, I would offer it as a substitute motion.

MS. WOODSWORTH: So, your substitute motion would be that the index be distributed to members, but not published as part of the ARL Statistics.

MS. DAVAL: Just a clarification. Is that distributed only to members?

MR. DE GENNARO: Members or prospective members.

MS. WOODSWORTH: Is that agreeable to the seconder that the index be distributed to members only?

MR. TALBOT: Yes.

MS. HOADLEY (Texas A&M University): I would like to ask the maker of the motion to explain to me how that is going to not harm the University of Michigan. If the index goes out, it is available to 106 people. Are you trying to tell me it is not going to get beyond any of the libraries? I do not see how it is going to make any difference whether you distribute it to everybody as a separate document or whether you print it in a publication. Can you explain the difference to me?

MR. DE GENNARO: There is a difference--it has been said before and I will repeat it--between publishing this as part of the ARL Statistics, which have a certain standing and a certain history, and distributing it as a separate document to the members with a message on it that says, "confidential, for internal use only." The index was established to help us decide on new members. That is what we want to use it for, and it should be labeled as such. Now, if people want to misuse it, they can misuse it, of course--use it for something else and call it something else. But at least it is not coming out as part of the ARL Statistics.

MR. LEINBACH (Tulane University): I have to disagree with Dick. I believe the fact that it is available is going to force some of us to use it. I am against the main motion, therefore, and am not in favor of it being published. Some of our administrators have gotten used to the index being available. If we are asked again this year, we either have to lie about it or reveal that, in fact, it has been compiled, but we cannot talk about it. I believe we are in real trouble if we compile it if we are against publishing it.

MR. CAMPBELL (Duke University): As an alternative to publishing it--and I agree sending it out even to members is a form of publication--perhaps it could be made available on demand to members only.

MR. CHAPIN: What is the motion?

MS. WOODSWORTH: We have a substitute motion and I am trying to get clarification on how I deal with that. Do we vote on the substitute motion before we vote on the main motion?

MR. CHAPIN: Was the substitute seconded?

MS. WOODSWORTH: The substitute was seconded by Richard Talbot.

A MEMBER: I would like to call the question.

MS. WOODSWORTH: We are voting on the substitute motion. Are you ready for the question? The motion is that the index be distributed to members only, but not published as part of the ARL Statistics. We are voting to substitute this motion for the other one.

MR. JOHNSON: That is what I wanted to clarify.

MS. WOODSWORTH: Are you ready for the question to substitute this motion for the previous one? All those in favor, signify by saying aye.

(A chorus of ayes.)

MS. WOODSWORTH: Those opposed?

(A chorus of nays.)

MS. WOODSWORTH: We need a standing vote.

MS. WOODSWORTH: All those in favor please raise your hand.

A MEMBER: Would you repeat both of the questions again?

MS. WOODSWORTH: The main motion is that the index be published. The substitute motion is that the index be distributed to members only and not published as part of the ARL Statistics. You are voting to substitute that latter motion for the former.

Are you ready for the question? All those in favor, raise their hands.

(A show of hands.)

MS. WOODSWORTH: All those opposed, raise their hands.

MS. DAVAL: 28 for, 53 against.

MS. WOODSWORTH: The substitute fails, so we are back with the main motion, which is that the index be published. All those in favor, say "aye".

(A chorus of ayes.)

MS. WOODSWORTH: Those opposed, say "nay".

(A chorus of nays.)

MS. WOODSWORTH: I believe we need a count. Would all those in favor of the motion raise their hands?

(A show of hands.)

MS. WOODSWORTH: Those opposed to the motion, raise their hands.

(A show of hands.)

MS. WOODSWORTH: Are there any abstentions? Thank you.

MS. WOODSWORTH: 44 in favor of the motion and 38 opposed to the motion, with five abstentions.

MS. GAPEN: I would like to move that the index be renamed and be published only in terms of issues related to membership, and be so designated as an index to be used only for determining membership eligibility.

MR. SHIPMAN: Second.

MS. ECHELMAN: From the point of view of the staff, I do not quite understand what that would mean. What would we have to do?

MS. GAPEN: If we are going to put it into the annual statistical report, it would be designated that it has been established for one element of the assessment of libraries related to the membership criteria. We want it to be interpreted for what it is, which is a description of size as it relates to membership and not a description of the overall quality of the library.

MR. CHAPIN: I have a point of order, Madam Chairman. We just voted that we would publish this and now we have another motion on the floor that says we will publish it in another form. I do not think you can do that. You could say let's rename this thing, but we just voted on publication, did we not?

MS. HOADLEY: But, Dick, it was only that we would publish the index; it was not where or how or for what purpose.

MR. JOHNSON (Emory University): The general feeling and discussion here has been that we clarify what the index is and what it is for by more accurately naming it, and I do not see that there is any difficulty with doing that. It does not require a vote, and the Membership Task Force will take it up on Friday. The Committee on Statistics hears what people are saying, so it ought to be possible to rename it the "Membership Criteria Index" or some other such index, perhaps reflecting size.

MR. LEINBACH (Tulane University): I am uncomfortable with the way the vote has come out. Out of respect to those who feel that it is not a good idea, I do not want to get us balled up in motions again, but I really think we ought to have a written vote on this. Eighty-two voted, with five abstentions, out of 118 members. It is too important an issue to let go without those other members getting a chance to vote.

MS. WOODSWORTH: There is a motion on the floor and your statement concerns the main motion that has already been voted on. We must dispose of the motion that is on the floor now.

MS. TAYLOR: I call the question.

MS. WOODSWORTH: Those in favor of renaming and publishing the index only in regard to issues relating to membership, please signify by saying aye.

A MEMBER: Point of order, ma'am. We are five minutes past the time for adjournment.

MS. WOODSWORTH: We do not adjourn; we will recess until tomorrow. We can carry this discussion over until the business meeting tomorrow.

A MEMBER: No. Let's finish the vote.

A MEMBER: Madam Chairman, I do not think most of us know what that means. Now, if you want to rename the index, that is one thing. Publishing in regard to membership does not mean a blasted thing to me, and I do not think it does to most people. I would like to have Ted's idea discussed. I believe we do not need a vote on this and the task force can make a recommendation for the next meeting that we rename the index.

MR. JOHNSON: My suggestion is that that motion is out of order because it is essentially the same as the previous motion which was just voted upon. The chair could declare it out of order.

MS. GAPEN: Madam Chair, I withdraw the motion.

MS. WOODSWORTH: Thank you for sparing me. We are recessed until tomorrow.

The ARL Library Index (cont.)

MS. WOODSWORTH: I would like to welcome you back to the second business session of this meeting.

MR. CHAPIN (Michigan State University): Madam President, I would like to move that we reconsider the action we took on the ARL index at the first business meeting for the purpose of offering a substitute motion that may result in more consensus than we have at the present time. The call for the reconsideration is supported by David Laird, the presenter of the original motion, and by Irene Hoadley, the seconder of that motion. If you concur in that that we reconsider, I have a substitute motion I would like to offer.

MS. WOODSWORTH: Were you on the side that voted for the motion and that prevailed in the motion?

MR. CHAPIN: Yes.

MS. WOODSWORTH: Do you have a second for your motion?

MR. SPYERS-DURAN: Second.

MS. WOODSWORTH: It has been moved and seconded to reconsider the vote on the motion that the index be published. This vote to reconsider has to have a clear majority to carry. Is there any discussion, or are you ready for the question?

MR. DE GENNARO: Can we hear what the motion is first?

MS. WOODSWORTH: The motion is to reconsider the vote that you took yesterday on publishing the index.

A MEMBER: Can Mr. Chapin say something as to why we should reconsider the motion, without getting into a long discussion about the new motion?

MR. CHAPIN: Yesterday we ended up with a vote that was 45 to 38, with a lot of abstentions. That was not, in my opinion, near a clear consensus on the part of the Association. So, I would like to put together several of those little motions that were rejected into a new package that says that we will not include a membership index in the published Statistics, but that it will be a separate document with the definitions and the appropriate warnings of its limitations that we do not have when it is simply included in the Statistics.

MS. WOODSWORTH: Are there any other comments? Are you ready for the question?

A MEMBER: I call the question.

MS. WOODSWORTH: Those in favor of reconsidering the vote on yesterday's motion to publish the index, say "aye."

(A chorus of ayes.)

MS. WOODSWORTH: Any opposed, say "no."

(Three nays.)

MS. WOODSWORTH: The motion is carried.

MR. CHAPIN: I offer a substitute motion, Madam President, that an ARL index for membership--that is all in lower cases--however compiled, will not be published as part of the ARL Statistics, but will be issued as a separate document with appropriate definitions and explanations, to be distributed to ARL directors and to any others on request.

MS. WOODSWORTH: Do you have a second for that motion?

MR. SHANK (University of California, Los Angeles): Second.

MS. WOODSWORTH: Thank you. Mr. Chapin, did you wish to elaborate further?

MR. CHAPIN: No.

MS. WOODSWORTH: The question before you now is a motion to substitute. We have a pending motion, which is that the ARL index be published. What has just been proposed is a motion to substitute, and we have to vote on accepting the substitute motion. So the question before you is a motion to substitute what was just proposed for the motion that the ARL index to be published.

MS. HOADLEY (Texas A&M University): Is it the intention of the mover of the substitute motion that the separate document would be published more or less at the same time as the Statistics?

MR. CHAPIN: More or less at the same time, in separate but not very significant document.

MR. RODGERS (University of Miami): In other words, separate but unequal.

MS. WOODSWORTH: I am glad we can still laugh at ourselves at this point in the meeting.

MR. JOHNSON: I would like to just add my support to this motion. I believe it would be a very healthy direction in which to move, so I would urge you to vote to substitute so that we can seriously consider the substitute motion.

MS. WOODSWORTH: Are you ready for the question?

A MEMBER: Question.

MS.WOODSWORTH: The motion is to accept a substitute motion for debate and vote. Are you ready for the question? Those in favor, say "aye."

(A chorus of ayes.)

MS. WOODSWORTH: Any opposed, say "no."

(No response.)

MS. WOODSWORTH: The motion clearly carries.

We now have a motion before us that reads as follows, "that an ARL index for membership, however compiled, will not be published as part of the ARL Statistics, but it will be issued as a separate document with appropriate definitions and explanations, to be distributed to ARL directors and to any others on request." Is there a second?

MR. LAIRD: Second

MS. WOODSWORTH: Is there any discussion?

MR. ROUSE (Oklahoma State University): If you had a request from an Associated Press, would you send it to them?

MS. WOODSWORTH: As the motion is stated, it would be sent to anyone on request.

MR. CHAPIN: This is not a confidential document. It is a document that describes the index and what it is used for; it is a membership index, this is how it is compiled and these are its limitations. Now, what the press does with something like that is up to the press. You know, the press does a lot of dumb things. If they want to list that as a qualitative index, they may do that. We all know that it is not a qualitative index, and they have been so warned that it is not a qualitative index.

MS. WOODSWORTH: Any other discussion? If not, are you ready for the question? Shall I read the motion again? The motion is "that an ARL index for membership, however compiled, will not be published as part of the ARL Statistics, but it will be issued as a separate document with appropriate definitions and explanations, to be distributed to ARL directors and to any others on request."

All those in favor of the motion, signify by saying "aye."

(A chorus of ayes.)

MS. WOODSWORTH: Any opposed?

(No response.)

MS. WOODSWORTH: Any abstentions?

(No response.)

MS. WOODSWORTH: The motion carries.

MR. ROUSE: What did we do about changing the name? Did we obliterate the motion to change the name of this index?

MS. WOODSWORTH: Yes. I do not think that that carried. But I believe that both the Statistics Committee and the Membership Task Force have enough of a sense of discomfort that we will look at other name possibilities.

Election of Board Members

MS. WOODSWORTH: I would like to call on Ted Johnson as chair of the Nominating Committee to give a report on his activities.

MR. JOHNSON: I am pleased to report the results of the work of the Nominating Committee, which I chaired. Millicent Abell and Graham Hill served with me on that committee, and we have three names to present to the membership for consideration for election to the Board of Directors. They are David Bishop of the University of Georgia, Peter Freeman of the University of Alberta, and Merrily Taylor of Brown University.

MS. WOODSWORTH: Those are the three nominees recommended by the committee. Are there any nominations from the floor?

(No response.)

Hearing none, could I have a motion to accept the report of the committee?

MR. LEINBACH (Tulane University): So move.

MR. MILLER (University of Notre Dame): Second.

MS. WOODSWORTH: All in favor of the question, say "aye."

(A chorus of ayes.)

MS. WOODSWORTH: Any opposed?

(No response.)

MS. WOODSWORTH: Any abstentions?

(No response.)

MS. WOODSWORTH: Congratulations to the three of you.

Executive Director's Report

MS. WOODSWORTH: I would now like to ask the Executive Director, Shirley Echelman, to give us her report.

MS. ECHELMAN: You all have a copy of my written report (see Appendix C). I would like just to mention a few highlights of the last six months for ARL.

ARL Programs and Office Activities. First, the National Register of Microform Masters Project has been funded at a level of just over a million dollars by the National Endowment for the Humanities and the Andrew W. Mellon Foundation. An agreement with the Library of Congress has been signed and is now in effect which stipulates the conditions of cooperation and the responsibilities of ARL and the Library of Congress. A request for a proposal from a contractor to do the conversion will soon be in the mail. We hope to sign a contract with a contractor either very late this year or early next year and get the project under way by February or March of next year, at the latest. It is a three-year project.

The Institute for Library Educators, second version, took place in July of this year in Boston and was very successful. I will leave it to Duane and his report to tell you a little more about that, since he was the dean of that event.

The Center for Chinese Research Materials was separated from ARL as of October 1, 1986, and is independently incorporated. An application has been made for 501(c)(3) tax-exempt status for that organization and it has opened shop in modest quarters with a small staff in suburban Virginia. We wish them the best of luck, although the future of the Center is still very uncertain, and as of this report to you, ARL has no further official connection with that organization which as been part of the Association's programs for the last 18 years.

The CONSER A&I project was completed, very successfully, in July. A report on the number of records and the kinds of information that were added to the CONSER data base through this project is available. The coordinator of the CONSER A&I project, Julia Blixrud, is now working for the Library of Congress as chief of the National Serials Data Program, and one of her responsibilities will be the maintenance of the database that was built through the project. So we have very good feelings about how that will be continued and the quality of the continuation. The National Library of Canada will also participate in maintaining the abstracting and indexing record updates.

We have one new committee and a new task force at ARL. The Committee on Government Policies, which was organized early this year, has met twice, most recently yesterday afternoon with Dr. Joe Clark, who is Deputy Director of the National Technical Information Service. It was a very useful and productive exchange of information in which Dr. Clark expressed not only a willingness but a positive desire to continue to cooperate with the ARL libraries in making sure that NTIS is able to continue providing products and services that are needed to promote research in academic institutions in the United States. We expect to be talking with him on a continuing basis and giving NTIS the kind of support that we believe it should have as the report on the future of NTIS goes through the Commerce Department to the President's budget in January of 1987.

The Task Force on Government Information in Electronic Format has been organized, with Kaye Gapen as chair. They have had several meetings and will meet again on October 30 with senior staff members of the Joint Committee on Printing to discuss criteria for the Government Printing Office Depository Library Pilot Projects to distribute government information in electronic format. The task force is concerned that ARL participate by providing mechanisms for assessing the projects, both when libraries apply for projects and when they report the end results. It has been a very busy task force. I am sure Kaye would like to hear from any of you who have concerns or issues that you would like to bring to her attention. They plan to report more fully in May.

We have moved ahead with the planning for the joint meeting between ARL and the Standing Conference on National and University Libraries, our United Kingdom counterparts. That meeting is scheduled to be held in York, England, from September 19-22, 1988. It will be a three-and-a-half-day meeting, jointly planned and executed by SCONUL and ARL. We anticipate it will be a very good and a very substantive meeting. The program planning will be done by a small committee of ARL and SCONUL directors. They are looking forward to it, as far as I can tell, and I think it will be a very good meeting.

On the fourth day, which is a Friday, Maurice Lines has invited ARL to come to the British Document Supply Center to tour the Center, and I have accepted the invitation on your behalf.

Discriminatory Pricing of Foreign Journals. I would like to turn now to the issue of discriminatory pricing of foreign journals. I have had conversations at this meeting with several directors about the status of this issue and possible actions ARL might take. We have contacted ARL's legal counsel, who has expressed an informal opinion about what the organization might do cooperatively about discriminatory journal pricing. However, in the conversation yesterday afternoon with the Committee on Government Policy, Dr. Clark came up with a new idea for us. There is a law, that he helped write when he was with the Office of Science and Technical Policy of the President, that we believe our lawyer also ought to investigate.

One group of academic libraries has had discussions with their counsel on this issue. They have been advised that it might be useful to scrutinize the conduct of foreign publishers to ascertain if there is anything illegal about present pricing policies. I interpret that to mean to see if there is anything collusive about pricing policies. We have not been successful in gaining the attention of the U.S. International Trade Representative's office. Their attitude seems to be that the publishers will charge what the publishers will charge and the libraries can cancel the journals if they do not want to pay the price. I do not believe they understand the difficulty of doing that in the collegial atmosphere. We are not going to give up on this issue, but I cannot report any success at the present time.

In another journal pricing issue, in early October we received a copy of a notice that many, if not all of you, have from Gordon and Breech Publishers about a photocopying license for their journal. We consulted with our legal counsel and, on October 14, sent you all his advice. In essence, he advises that no one sign the agreement as it was presented, and gives several options for consideration. He also urges all of you who have this concern to consult with your institutional legal counsel about it.

ARL Annual Salary Survey. Before I go on to anything else, Gordon Fretwell would like to say a few words about the salary survey.

Remarks by Mr. Fretwell

MR. FRETWELL (University of Massachusetts): I am the editor of the ARL Annual Salary Survey. I just wanted to take this opportunity to make a brief report on how rapidly we are moving along with this year's survey. All but about a half a dozen universities have reported so far, and we should have some preliminary tables ready to mail to you within three weeks.

The one major element that we added this year was year of birth so that we could provide some demographic information. The response on that has been overwhelming. At this point, it looks like all but three or four universities will have reported that data. I believe we will end up with what amounts to a census of research librarians, university research librarians, that should be very useful in predicting any impending wave of retirements that we might be facing.

So I want to thank you all very much for your timely reporting and for the extra effort you put into it this year.

MS. ECHELMAN: Thank you, Gordon.

Federal Relations Activities. Now just a little bit of update on what is going on in Washington.

The bill to reauthorize the Higher Education Act was signed last Friday by President Reagan. Title II-C was reauthorized at $10 million for 1987 and a phrase that says "such sums as are necessary" for the additional years. Appropriations for 1987 for Title II-C are $6 million, which means we did not suffer from the Gramm-Rudman-Hollings cuts.

The National Endowment for the Humanities appropriations for fiscal 1987 are $138.5 million, with $4 million for the Preservation Office. In other words, they got more for next year than they had for last year.

The Library of Congress appropriations are $235.4 million, nearly $14 million higher than 1986, I am very pleased to say, but still $3 million less than 1985. Bill, would you like to say anything more about the LC appropriations?

MR. WELSH (Library of Congress): No. We are very pleased and I want to thank all of you for your great support. As you say, we did not get full restoration, but we got more than we expected. We should all be gratified.

MS. ECHELMAN: We owe thanks to a lot of individual scholars, also, who came forward to defend and support the programs of the Library and the importance of those programs for scholarship, too. It was a very broad-based effort.

Turning now to another part of the Library of Congress, the Copyright Office is mandated by law, as you know, to review Section 108 of the U.S. Copyright Act every five years. I hate to tell you this, but the next five-year review has already begun. It is due in Congress on January 1, 1988. The Register has stated that he does not intend to do the same kind of survey or research into this issue that was done last time; a couple of days of hearings will be held early next year and all the interested parties will be invited to present their views on how the law is working and what the problems might be. That may be followed by a simple survey of actual practice to see what is going on, but they have no intention of doing the kind of data gathering and analysis they did last year.

The Copyright Office has asked ARL and other library associations, and probably the publishers and other copyright-holding associations, for some comments on the kinds of questions that they ought to ask and the kinds of information that they ought to be seeking. Our Government Policy Committee has looked at that list of questions, and the Task Force on Government Information in Electronic Format is also looking at it, as well as the Board. We will be responding to that request before the end of the year.

The Committee on Government Policy, in discussing the copyright review, recommended that: 1) ARL should urge its members to cooperate in the review, but that we should not participate directly as an information-gathering agent; 2) ARL should continue to advise the Copyright Office on the substance and methodologies for the review; 3) ARL should continue to stand firm on fair use and the free flow of information; and 4) ARL should advise the Copyright Office that its review should be restricted to photocopying issues and not attempt to include the newer media for reproduction and down-loading, and so forth.

There are two more things. First, just for your information, the National Archives has been without an archivist for some time. The first Presidential nomination was Edward Curran, and that was refused by the Congress. The second nomination was John Agresto, who is Deputy Chairman of the National Endowment for the Humanities, and that nomination died when the Congress recessed on October 18. So at the present time, there is no Presidential nominee for the post of Archivist of the United States.

A number of directors have asked about the status of the Government Printing Office plan to distribute certain high visibility titles to depository libraries in microfiche only. I would like to report on what we know about the status of that at the present time. Senator Mathias, who chairs the Joint Committee on Printing, put the Public Printer's plan on hold until evidence is provided that demonstrates the necessity of such drastic action. At this point, the plan is still on hold. However, the Congress has been bombarded by calls and letters from both users and libraries, and implementation, at least for now, appears to be unlikely.

A GPO response to Senator Mathias' letter from the committee has been drafted but not yet approved by the Public Printer. It is expected that the response will suggest some kind of compromise, but the details are not yet public. That letter may be released as early as next Monday, and if it contains useful information, we will certainly send it on to you.

When contacted about what we should tell ARL directors about the status of the GPO plan, the Superintendent of Documents asked that we report that--and I am paraphrasing--if GPO does not find a way to achieve substantial cost savings in the depository program, they may find themselves without funds before the end of the fiscal year, and this may result in a temporary shut-down in the depository library program. I do not know whether he was saying that to try to scare us, but that is what he said. We will continue to report on developments as they occur.

I would like to ask whether anyone has any questions about my written report or about anything I have reported on verbally this afternoon. If not, thank you very much.

Report from the Office of Management Studies

MS. WOODSWORTH: I would like to ask Duane Webster to give a report on the Office of Management Studies.

MR. WEBSTER: Thank you, Anne.

This report will look at some of the newer services and resources available from the Office of Management Studies. Also, I urge that you look at the activity report distributed in advance of this meeting for a review of some of the ongoing OMS activities.

Roughly a third of our efforts are separately-funded projects. Three such projects--the North American Collections Inventory Program (NCIP), the Institute on Research Libraries, and the Preservation Planning Program--are operating currently. Of those three, only one will continue beyond this year. NCIP, now in its third phase and with funding from the Andrew W. Mellon Foundation, will continue until June 1988.

The second project, the Institute on Research Libraries, was supported with funding from the Council on Library Resources. This was the second of these institutes. It was held this summer in Cambridge, Massachusetts, sponsored by MIT. The first one was held in North Carolina in 1984.

For the institute, we were able to identify ten distinguished library educators who were prepared to learn a bit more about research library interests and prospects. In turn, we had a chance to influence that group of people in terms of what we are looking for in the preparation of future staff. The project was a success, from all of the measures that we have available to us. The participants were pleased with the experience. The library directors that hosted the field visits felt that the educators were interested and responsive. The four libraries in Boston that provided time on the part of their senior staff and their university administrators in order to brief this group of educators also thought it was a very useful forum for an exchange of ideas and points of view.

A full report on that project is going to be available before the end of the year, but I might make several observations about the impact of that activity. First, the library educators--and not only those participating in this program directly--have observed that this is one of the most concrete, practical, positive things ARL has done to address the concerns that we have with how library educators prepare research library staff, and they are very pleased to see ARL taking that initiative. Second, the library directors who were willing to help us with this felt it was a very important direct link with individual library educators, a chance, on a one-to-one basis, to influence those people and to give them a good, positive view of what research libraries are about.

The question now is what shall we do next. The Management Committee has encouraged us to make the field visit model more available to library educators who might want to follow that as a professional development device, independent of a separately funded project. Also, it was requested at the Board meeting that we make the resources and the agenda from the seminar part of this program available to any institution that wants to work with their library school in order to convene a local or regional discussion around some of these issues, and we are prepared to do that. We have also been encouraged to put together a proposal to do a third one of these institutes, if we can attract funding from another agency.

The third project I would like to discuss is the Preservation Planning Program. This project is also coming to a close this year. It was, as you recall, a two-year project supported with funding from the National Endowment for the Humanities, to engage ten member libraries in a preservation planning process. We have completed those ten studies, and the reports from the institutions are available to those interested in looking at them. The Preservation Planning Program also received an additional grant from NEH to allow us to expand the manual to include some additional modules, as well as to refine and update the resource notebook. Those two tools will be available by the end of the year to anybody interested in them; I have found that many libraries use these resources to do informal preservation studies, independent of the formal Preservation Planning Program process.

In terms of the next step, we have submitted a proposal to NEH to identify ten staff members from our member libraries to receive formal preservation administration training at the Columbia University Library School as part of an effort to increase the pool of preservation talent that is available to research libraries. The project, as we have submitted it to NEH, includes not only this identification and training component, but also an expectation that the people, once trained, will return to the institution that sponsored their participation and conduct some sort of preservation review or preservation planning activity.

Next I would like to look at the four base programs of OMS: consultation, publications, training, and research and development. In terms of those four programs, I might highlight the new things that are happening, just to keep you abreast of what is available for your use. The consultation area includes the self-study processes and direct assistance we give to member libraries in instituting organizational change. In the last eight months, we have started three new public services studies at McGill, York, and Dartmouth. These are efforts following up on the General Electric project to develop a public service study module. We have started two new Preservation Planning Program studies, one at Pittsburgh and one at the University of Wisconsin, again moving the effort that NEH has supported into an ongoing part of our regular program services.

We have also conducted four new leadership development programs. These are essentially strategic planning activities engaging the senior management staff of a research library in a three-and-a-half-day effort to identify future directions and actions. The four institutions that have been involved in that strategic planning process are Yale, the University of Southern California, Ohio State, and SUNY-Buffalo. I might also say there has been a fair amount of interest from other institutions to take advantage of that program, and we are prepared to conduct additional programs in the future.

Again, the resources that are available to you in this program area include five assisted self-study packages, covering public services, collection analysis, preservation, management review, and the academic library program, which is a general system, technology, and program review. In addition, we have that leadership development program, which is an effort to move from an advisory type of study process to a line management, strategic planning activity.

The second core program is the publication program. This continues to be a very active component of OMS. New SPEC flyers and kits have been issued on the topics of bar coding, library systems automation, technical services costs, and, most recently, one on the organization of the systems function within research libraries. In the next several months, we plan to issue SPEC surveys and flyers on the topics of optical disc technology, the current status of retrospective conversion efforts, and the organization and management of the collection function in research libraries. Two of those are update kits.

We have also issued an update of the Automation Inventory of Research Libraries. This revised version of the inventory includes 113 participants--we are getting a high level of participation in that program. A component of the automation inventory is the collection of information on automation expenditures. Maxine Sitts, who is in charge of the inventory, advises me that reports on the aggregate data compiled in that effort will be issued shortly.

New things are taking place in Systems and Procedures Exchange Center. I want to alert you to several, including a new effort on our part to engage staff from member libraries in a collaborative research program. We are doing more and more of the SPEC flyers and kits as collaborative research efforts, working with people from member libraries. In addition, Maxine has started a very interesting program called the Visiting Librarian Program to allow some librarians who have a sabbatical opportunity to investigate issues at the OMS Office. The investigation might lead to a publication but not necessarily. We are interested in providing a setting in which those librarians, if they are interested, can investigate specific issues without cost.

The third core program I want to highlight is the training program. This has proved to be our most active area in the last year. We have put together something on the order of seven basic management skills institutes, five advanced management skills institutes, two analytical skills institutes, 27 special focus workshops, and a new management institute for assistant and associate directors. The latter event was conducted at the end of August. We had 31 participants and the institute was very well received, as far as we can determine, by the participants.

We have issued a new schedule of basic and advanced institutes for the next year--two basic institutes, two analytical, one advanced. We are also going to conduct another management institute for AULs, and we are also planning a new management institute for ARL directors. As you know, we have done two management institutes for ARL Directors covering the topics of strategic planning, organizational change, and role in the university. The directors' institute that we are planning for this next year will cover three new topics: team-building, conflict management skills, and the process of building a positive organizational climate. The date for the next management institute for directors is February 18-22, 1987, and we are prepared to accept your expressions of interest in that program.

The Management Committee has encouraged us not only to maintain this array of training services, but has also urged us to look at two new areas for the next year to see whether we might be able to design and present new institutes. First, they want us to investigate and include financial management skills. We are now in the process of negotiating with a person who is a noted authority in this area to work with us collaboratively on the design of that event; we are hopeful that we can put it together in the next year. The second event is related to the process of helping people who have responsibility for designing and delivering training to do that more effectively, taking advantage of current knowledge, theories, and practices. This "train-the-trainers" workshop or institute is being prepared and as soon as we have the scheduled date for conduct of that event, we will alert you to it.

The fourth core program is research and development. In that area we put together new programs that will eventually fit into one of our ongoing programs. Our major concern in this arena is developing a technical services self-study. Our concern there, of course, is getting financial support to help us design and test such a process, and we are engaged in looking for that financial support.

We are also working with Gordon Fretwell, as he mentioned, on the study of demographic characteristics of library staff, as well as an investigation of reasons for turnover in research library staff.

Financially, this set of activities is supported with a portion of the annual dues. Roughly $120,000 annually comes from ARL dues to support OMS programs. The budget for these activities is about $462,000, and the gap between the two figures is made up by sale of services, resources, and publications.

In terms of trends and developments, as I have noted here, all the programs are active. There seems to be an increasing interest on the part of ARL libraries to take advantage of the training resources that are available to you.

In closing, I would like to thank again the Management Committee for the advice and support they give us in the conduct of these programs. All new efforts and all ongoing efforts are reviewed annually by the Management Committee in order to assure the Association that the activities that we are engaged in are, in fact, needed, wanted and can be funded. So I would like to thank again the Management Committee for their support and, in particular, the current chairman, Joan Chambers.

Consideration of Dues Increase

MS. WOODSWORTH: Before our next speakers, we have an important item of business. The Board has made a recommendation for a dues increase for 1987. As you came in the door, you will have seen a revised budget. That budget represents a 5.1% increase in membership dues, effective January 1, 1987. This would bring the annual member's dues from $5,490 to $5,770. This is a recommendation to you from the Board, hence, it needs no motion. I would be willing to entertain any discussion or questions on the proposed budget.

I would remind those of you that are relatively new to the Association that within the period of the five-year plan, through 1988, we have a commitment to stay within a range of 4-7% in terms of any increase in dues to support the programs and the activities in the plan.

Are there any questions? Hearing no discussion or questions, I would like to pose the question. All those in favor, say aye.

(A chorus of ayes.)

MS. WOODSWORTH: Any opposed?

(No response.)

MS. WOODSWORTH: Any abstentions?

(No response.)

MS. WOODSWORTH: The motion is carried, and the Board will proceed to approve the budget at its next meeting.

Report on the Library of Congress DEZ Project

MS. WOODSWORTH: It is my pleasure to turn now to Donald Curran, Associate Libraian of Congress, and Peter Sparks, LC Director of Preservation, who will tell us about the DEZ facility.

MR. CURRAN: We are pleased to be here today. We would like to talk to you about the Library's diethyl zinc gas diffusion process for deacidifying books--and one of the reasons I got that job is because I can say that! I would to make a few introductory remarks. Peter has a few slides to show, and then if there is some opportunity to do so, we would very much like to hear any questions or comments or observations you all would like to share.

Library of Congress staff and others have been studying the embrittling chemical effects of acid in paper for many years in an effort to find a relatively inexpensive mass process of neutralizing book paper acidity rather than the traditional page-at-a-time processes. We know, of course, from tests, that the vast majority of books in our collections and those that we receive currently from around the world are highly acidic. We have concluded from our studies that given the huge size of our receipts and our existing collections that a deacidification system based on a gas diffusion process is really the only process that will work for us.

There are several benefits of the gas deacidification process that we call DEZ, or the diethyl zinc process. First, the chemical itself, diethyl zinc, is a wonderfully effective deacidification agent for interacting with paper and books. We have tested it. It really works; it is efficient, it is effective.

Second, a properly designed gas deacidification process operating in a closed chamber offers the opportunity to deacidify literally thousands of books in a single treatment cycle of a few days.

LIBRARY OF CONGRESS

DEACIDIFICATION PROGRAM MANAGEMENT PLAN

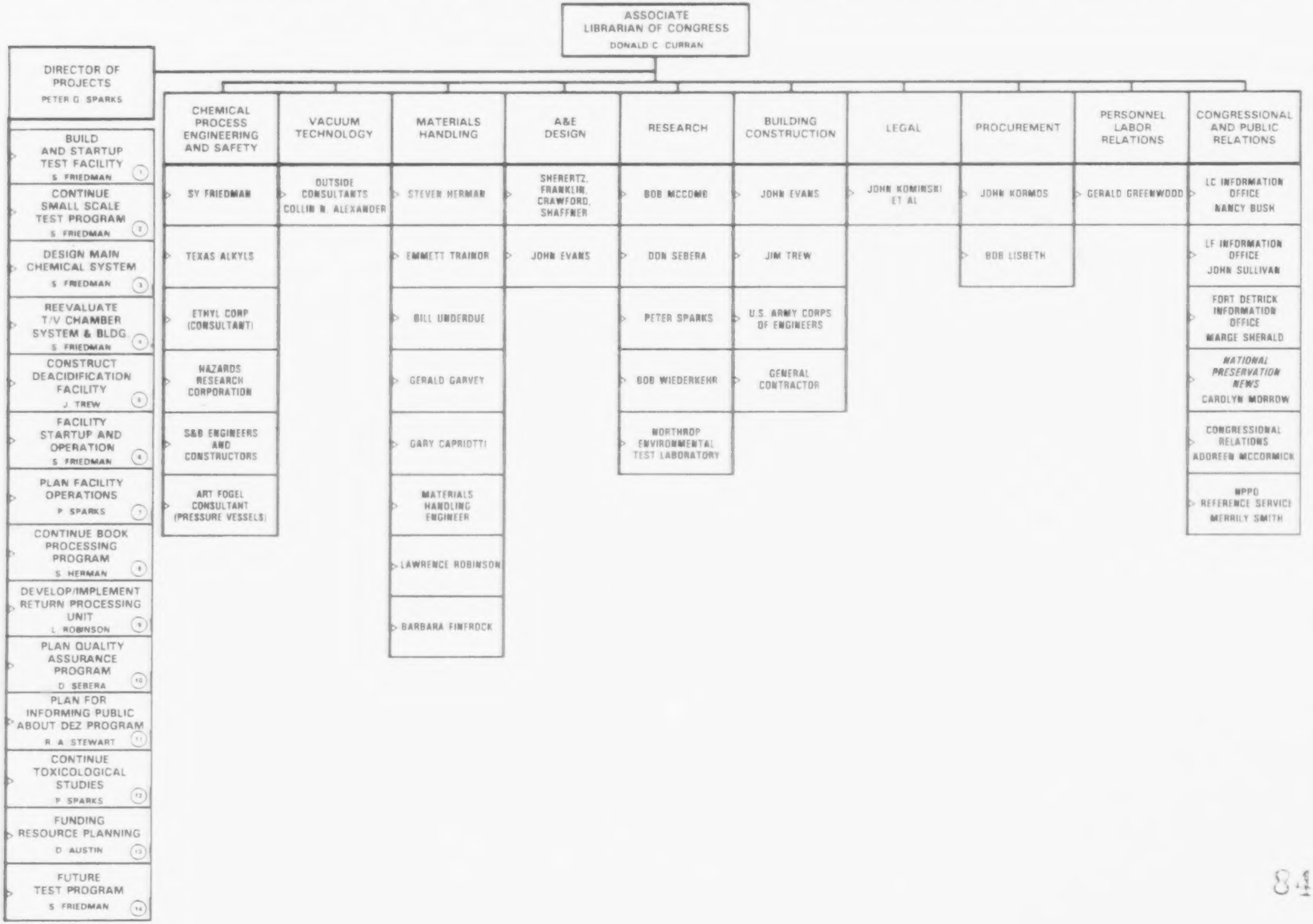

ASSOCIATE LIBRARIAN OF CONGRESS
DONALD C. CURRAN
DIRECTOR OF PROJECTS
PETER G. SPARKS
BUILD AND STARTUP TEST FACILITY
S. FRIEDMAN
①
CONTINUE SMALL SCALE TEST PROGRAM
S. FRIEDMAN
②
DESIGN MAIN CHEMICAL SYSTEM
S. FRIEDMAN
③
REEVALUATE T/V CHAMBER SYSTEM & BLDG.
S. FRIEDMAN
④
CONSTRUCT DEACIDIFICATION FACILITY
J. TREW
⑤
FACILITY STARTUP AND OPERATION
S. FRIEDMAN
⑥
PLAN FACILITY OPERATIONS
P. SPARKS
⑦
CONTINUE BOOK PROCESSING PROGRAM
S. HERMAN
⑧
DEVELOP/IMPLEMENT RETURN PROCESSING UNIT
L. ROBINSON
⑨
PLAN QUALITY ASSURANCE PROGRAM
D. SEBERA
⑩
PLAN FOR INFORMING PUBLIC ABOUT DEZ PROGRAM
R. A. STEWART
⑪
CONTINUE TOXICOLOGICAL STUDIES
P. SPARKS
⑫
FUNDING RESOURCE PLANNING
D. AUSTIN
⑬
FUTURE TEST PROGRAM
S. FRIEDMAN
⑭
CHEMICAL PROCESS ENGINEERING AND SAFETY
SY FRIEDMAN
TEXAS ALKYLS
ETHYL CORP (CONSULTANT)
HAZARDS RESEARCH CORPORATION
S&B ENGINEERS AND CONSTRUCTORS
ART FOGEL CONSULTANT (PRESSURE VESSELS)
VACUUM TECHNOLOGY
OUTSIDE CONSULTANTS
COLLIN N. ALEXANDER
MATERIALS HANDLING
STEVEN HERMAN
EMMETT TRAINOR
BILL UNDERDUE
GERALD GARVEY
GARY CAPRIOTTI
MATERIALS HANDLING ENGINEER
LAWRENCE ROBINSON
BARBARA FINFROCK
A&E DESIGN
SHERERTZ, FRANKLIN, CRAWFORD, SHAFFNER
JOHN EVANS
RESEARCH
BOB MCCOMB
DON SEBERA
PETER SPARKS
BOB WIEDERKEHR
NORTHROP ENVIRONMENTAL TEST LABORATORY
BUILDING CONSTRUCTION
JOHN EVANS
JIM TREW
U.S. ARMY CORPS OF ENGINEERS
GENERAL CONTRACTOR
LEGAL
JOHN KOMINSKI ET AL
PROCUREMENT
JOHN KORMOS
BOB LISBETH
PERSONNEL LABOR RELATIONS
GERALD GREENWOOD
CONGRESSIONAL AND PUBLIC RELATIONS
LC INFORMATION OFFICE
NANCY BUSH
LF INFORMATION OFFICE
JOHN SULLIVAN
FORT DETRICK INFORMATION OFFICE
MARGE SHERALD
NATIONAL PRESERVATION NEWS
CAROLYN MORROW
CONGRESSIONAL RELATIONS
ADOREEN MCCORMICK
NPPO REFERENCE SERVICE
MERRILY SMITH

Figure 1

Third, in our collections, there is a very high paper acidity. There is an assortment of types of colors, pictures, graphics, texts, as well as all kinds of book covers—color and mixes of all kinds and shapes. After all, LC is the world's collection of knowledge. The DEZ gas diffusion approach will treat this great variety in a uniform and consistent manner without side effects. There is no need to classify, segregate, pre-sort, or pre-examine before the books are treated.

Fourth, we believe the prospective cost, which we estimate at three to five dollars a volume, is reasonable.

Finally, there is a measured alkaline reserve in each book, about 1-1.5%. This is the crucial element in the process from our standpoint, because it virtually guarantees an acid-free book for hundreds of years into the future.

These benefits are the good news. The bad news is, of course, that diethyl zinc, as most of you know by now, is a pyrophoric chemical that can ignite spontaneously when exposed to air. It must be contained in a closed, carefully controlled system. It should be noted that it is not explosive--it does not have explosive characteristics--but it is a potential hazard.

In terms of progress to date in developing this process, we have been able to advance to the use of diethyl zinc as an acid-neutralizing agent from a pressure cooker in a bench laboratory test in a vacuum chamber to a series of 14 successful, small-scale chemical refinement tests. We know that the chemistry works, and it works very well. We have identified problems of uniform gas diffusion in a vacuum chamber, book cover staining problems, as well as others. Some have been solved, others require further testing to settle on the best solution.

The principal issue here is a challenging problem of how to move liquid DEZ safely from a tank, essentially, to inside of the vacuum chamber that contains the books, say 5,000 to 7,000 books, deacidify the paper in these books, and remove the gas as a vapor back into a liquid form. All of this must be done in an essentially vacuum environment inside of a chemical plant. It was testing that delivery process which uncovered serious design and procedural deficiencies at our NASA test site in Greenbelt, Maryland. The result was a series of three interconnected incidents that produced fire, explosion, and substantial damage at the site. The experience has caused us to rethink and reorganize the effort at testing and development and actual construction work at Fort Dietrick, Maryland, where the plant is going to be built.

We have drawn certain conclusions from our experience to date, which we summarized briefly, and we would like to focus on future directions of the project. Peter Sparks is director of LC's preservation programs. We have relieved him from some of his other duties, and he is focusing now primarily on the diethyl zinc process, but we will talk a little more about that when we talk about the way we have reorganized the project.

MR. SPARKS: After the various NASA incidents, we came to the following conclusions.

1. Chemical delivery and recovery system design in the pilot plant was severely faulted.

LIBRARY OF CONGRESS

DEACIDIFICATION PROGRAM PROJECTS

BUILD
AND STARTUP
TEST FACILITY
S. FRIEDMAN

CONTINUE
SMALL SCALE
TEST PROGRAM
S. FRIEDMAN

DESIGN MAIN
CHEMICAL SYSTEM
S. FRIEDMAN

REEVALUATE
T/V CHAMBER
SYSTEM & BLDG.
S. FRIEDMAN

CONSTRUCT
DEACIDIFICATION
FACILITY
J. TREW

FACILITY
STARTUP AND
OPERATION
S. FRIEDMAN

PLAN FACILITY
OPERATIONS
P. SPARKS

CONTINUE BOOK
PROCESSING
PROGRAM
S. HERMAN

DEVELOP/
IMPLEMENT RETURN
PROCESSING UNIT
L. ROBINSON

PLAN QUALITY
ASSURANCE
PROGRAM
D. SEBERA

PLAN FOR
INFORMING PUBLIC
ABOUT DEZ PROGRAM
R. A. STEWART

CONTINUE
TOXICOLOGICAL
STUDIES
P. SPARKS

FUNDING
RESOURCE PLANNING
D. AUSTIN

FUTURE
TEST PROGRAM
S. FRIEDMAN

Figure 2

2. Problems at the NASA/Goddard facility were not related to the basic deacidifcation process but to improper procedures, faulty design, and equipment malfunction.

3. Main facility, vacuum chamber and pumping system design was in reasonable shape but needed further studies on heat transfer and other items.

4. Main facility building design was sound but needed more detail on fire code specifications and relocation of test laboratory.

5. Production plant engineering and testing should be moved from NASA (aerospace engineering expertise) to the chemical process industry.

As a result of these conclusions, we took several actions:

1. We cancelled the Northrop contract for engineering services.

2. We struck a mutual divorce with NASA-Goddard, which was relatively straightforward; we wanted to go and they wanted us to go.

3. We delayed the awarding of the bid to construct the main facility at Fort Dietrick. We had a good bid on the project, but we decided to hold up on it.

4. We dismantled our test facility and are disposing of that equipment.

5. We initiated some engineering proposals from chemical design firms.

6. We hired our own chemical engineer--100% of his time on the DEZ project--a very experienced person with whom we are delighted.

7. We have implemented a centralized management plan for all deacidification program projects. All of us were looking for the opportunities in this, and I believe there are quite a few for us to grasp as we reorganize this project.

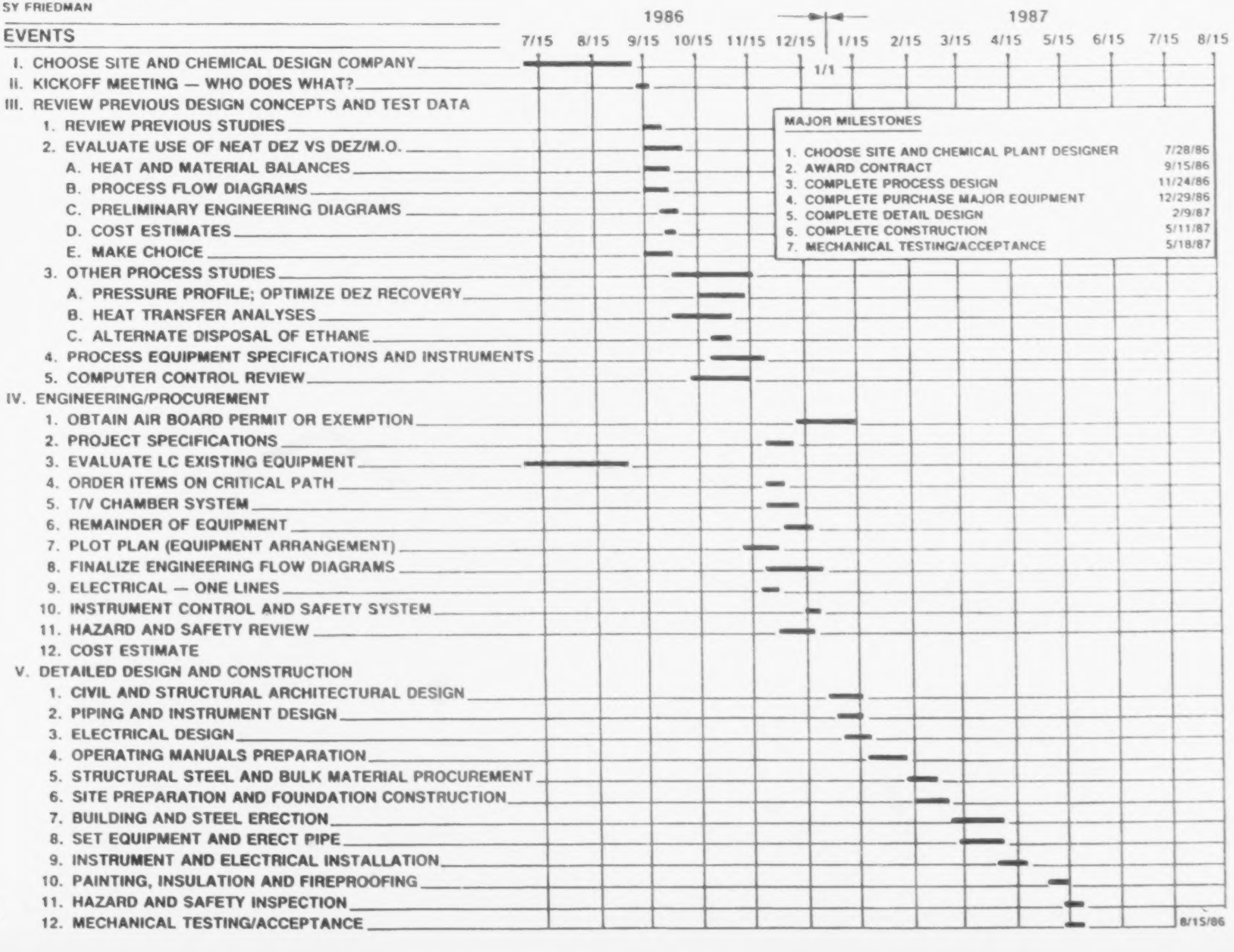
Now, we would like to talk a little bit about future directions and, in particular, Don and I want to discuss three topics: 1) the management plan; 2) how we are going to redesign and rebuild the pilot facility; and 3) changes in the total project schedule.

MR. CURRAN: What we are trying to use here is something called a matrix management system (see Figure 1), which we have used with some success on several of other projects. We want to involve more people in the Library much more directly in the management of this project, in much more specific assignments of responsibility. In order to do that, we have brought together this so-called matrix management approach, with 14 major project activities identified. They are all displayed in the chart (see Figure 2), but today we will really be talking only about the first two or three.

LIBRARY OF CONGRESS

BUILD AND STARTUP FACILITY

PROJECT MANAGER
SY FRIEDMAN



EVENTS

I. CHOOSE SITE AND CHEMICAL DESIGN COMPANY
II. KICKOFF MEETING — WHO DOES WHAT?
III. REVIEW PREVIOUS DESIGN CONCEPTS AND TEST DATA
  1. REVIEW PREVIOUS STUDIES
  2. EVALUATE USE OF NEAT DEZ VS DEZ/M.O.
    A. HEAT AND MATERIAL BALANCES
    B. PROCESS FLOW DIAGRAMS
    C. PRELIMINARY ENGINEERING DIAGRAMS
    D. COST ESTIMATES
    E. MAKE CHOICE
  3. OTHER PROCESS STUDIES
    A. PRESSURE PROFILE; OPTIMIZE DEZ RECOVERY
    B. HEAT TRANSFER ANALYSES
    C. ALTERNATE DISPOSAL OF ETHANE
  4. PROCESS EQUIPMENT SPECIFICATIONS AND INSTRUMENTS
  5. COMPUTER CONTROL REVIEW
IV. ENGINEERING/PROCUREMENT
  1. OBTAIN AIR BOARD PERMIT OR EXEMPTION
  2. PROJECT SPECIFICATIONS
  3. EVALUATE LC EXISTING EQUIPMENT
  4. ORDER ITEMS ON CRITICAL PATH
  5. T/V CHAMBER SYSTEM
  6. REMAINDER OF EQUIPMENT
  7. PLOT PLAN (EQUIPMENT ARRANGEMENT)
  8. FINALIZE ENGINEERING FLOW DIAGRAMS
  9. ELECTRICAL — ONE LINES
  10. INSTRUMENT CONTROL AND SAFETY SYSTEM
  11. HAZARD AND SAFETY REVIEW
  12. COST ESTIMATE
V. DETAILED DESIGN AND CONSTRUCTION
  1. CIVIL AND STRUCTURAL ARCHITECTURAL DESIGN
  2. PIPING AND INSTRUMENT DESIGN
  3. ELECTRICAL DESIGN
  4. OPERATING MANUALS PREPARATION
  5. STRUCTURAL STEEL AND BULK MATERIAL PROCUREMENT
  6. SITE PREPARATION AND FOUNDATION CONSTRUCTION
  7. BUILDING AND STEEL ERECTION
  8. SET EQUIPMENT AND ERECT PIPE
  9. INSTRUMENT AND ELECTRICAL INSTALLATION
  10. PAINTING, INSULATION AND FIREPROOFING
  11. HAZARD AND SAFETY INSPECTION
  12. MECHANICAL TESTING/ACCEPTANCE

MAJOR MILESTONES

1. CHOOSE SITE AND CHEMICAL PLANT DESIGNER	7/28/86
2. AWARD CONTRACT	9/15/86
3. COMPLETE PROCESS DESIGN	11/24/86
4. COMPLETE PURCHASE MAJOR EQUIPMENT	12/29/86
5. COMPLETE DETAIL DESIGN	2/9/87
6. COMPLETE CONSTRUCTION	5/11/87
7. MECHANICAL TESTING/ACCEPTANCE	5/18/87

Figure 3

Peter had already mentioned building and start-up of test facility. Sy Friedman is the engineer Peter was referring to for this project as well as continuation of the small-scale test program, design of the main chemical system, and several other projects. As you can see, the projects cover such things as plant operation, plant quality assurance, continued toxicological studies, funding and resource planning, and future test programs.

There is an individual assigned, of course, for each of these programs. Under the so-called matrix management scheme of things, as the Associate Librarian of Congress, I am the general coordinator of this effort. The person who is heavily involved now as director of projects overall is, of course, Peter, and then the 14 specific projects that I have just mentioned each have a director.

In Figure 1, down on the left-hand column and across the top are the resources or the resource activities. For example, there are chemical process engineering, vacuum technology, material handling, Congressional and public relations, etc. We have been giving this presentation in a number of places to explain to our various publics--obviously, you are one of our key publics, along with Congress, staff, and others--what we are trying to do. In any case, all the folks here who are part of the resources--the individuals, the Corps of Army Engineers, consultants, etc.--are the people available to help each of these program managers get his particular part of the program done. It is Peter's job to coordinate all of this, and it is mine to try to help out when we need help from the overall library and the use of all the library's resources.

MR. SPARKS: Let me go quickly just to give you some idea of how this works. To staff Project One, we have assigned Sy Friedman as the project manager. We have two contractors; we just signed the contract this week. Texas Alkyls chemical firm in Houston is the prime contractor. They are the manufacturer of organo-metallic chemicals and have the expertise in handling of these materials. The facility will be built at their plant location in Deer Park, Texas. S&B Engineering is the design and construction firm. We also have some consultants to the library in various areas such as vacuum technology and safety. We have started this project and we are hoping to finish it in August or September of next year.

Figure 3 shows how one of these projects look on an organizational chart. This is just conceptual. We talk about all the events that have to be done, put it on a time frame, and assign times for each of the projects. Everything is organized on this mode; I believe it makes for good planning. We also define milestones and things of that nature. We would be happy to discuss this in detail with any of you. We were just trying to give you the perception that we thought about what we want to do and how we are going to get there.

It is important to talk about the schedule impacts and how the schedule works with this project. We have three things that impacted our original schedule. It took us about seven months to recover from what happened out at NASA and to get the thing back on track again. The test facility redesign and construction and some testing will take about 12 months. Then, to incorporate the information from that pilot facility will take another six months. This is really a key point, because in building a chemical plant, you must have the pilot facility before you can build the main facility; you have to scale up from a factor of about 25 to 1. We lost about 25 months as a result of what happened at Goddard.

The key step is Project Six, which is Facility Startup and Operation. We plan to start this project in November 1989 and have the facility ready for operation by the middle of 1990. So that is a shift of a little more than two years over the original plan.

I would be happy to answer any questions about the project. I would be delighted to stay here and talk with any of you or field any questions you have right now.

Report on the LC Cooperative Cataloging Project

MS. WOODSWORTH: I would now like to call on Henriette Avram, Assistant Librarian of Congress for Processing Services, to talk to us about cooperative cataloging.

MS. AVRAM: As I am sure most of you know, for at least part of the past year the Library of Congress and members of the Research Libraries Advisory Committee of OCLC and the Research Libraries Group have been engaged in planning for the implementation of a nationwide program for coordinated cataloging among LC and a small number of selected research libraries. I would like to review with you today what the Coordinated Cataloging Program is about and to bring you up to date on the status of the program.

The Coordinated Cataloging Program, fondly known as CCP, refers to a formal program in which designated research libraries would follow LC practices when creating bibliographic records, and these records would then be contributed to the LC database and distributed to the library community via the Linked Systems Project (LSP) and the MARC Distribution Service on tape. The libraries participating must also be NACO members and they will create authority records related to the bibliographic records. LC will give the personnel from the participating libraries special training and supply them with all the guides that we use at LC. In addition, quality checking will be carried out by LC through a sampling process, just as we do with NACO at the present time.

This project really grows out of the Name Authority Cooperative (NACO). NACO started with a small number of libraries and now has over 40 participants. About 200,000 authority records have been contributed by the 40 participants, which have been a big help to the nation's libraries as well as to the Library of Congress. The objectives of the program, then, are to increase the timeliness of cataloging, to extend cataloging coverage, to reduce duplication of effort, and to produce cataloging of a national level quality.

We have had several planning meetings this past year. At the first meeting, representatives from RLAC, LC, and RLG met to discuss the concepts of the program, and that group became, with certain additions, the steering committee. The steering committee, as it is presently made up, includes the library directors from Yale, Illinois, Indiana, Columbia, Texas, Georgia, Pennsylvania, Michigan, MIT, Berkeley, Chicago, Harvard and, of course, the Library of Congress.

We also have in place an operations planning group. The operations planning group is made up of representation from pilot participants; the pilot libraries are not necessarily all the libraries that are members of the steering group. The eight pilot libraries are Berkeley, Chicago, Harvard, Illinois, Indiana, Michigan, Texas and Yale; their heads of technical processing are members of the operations planning group. It will be the responsibility of the operations planning group to specify the detailed requirements for the cooperative coordinated cataloging project.

Decisions made to date have been that since LSP is not ready for the transfer of bibliographic records, the pilot libraries would input directly into the Library of Congress; that is, online input to the Library of Congress. LC would make, and has at this time made, a funding proposal to the Council on Library Resources (CLR) for the costs of telecommunications, travel of the operations planning group, and training for the pilot libraries. We will be notified by CLR after the CLR board meets on November 22 as to the results of the funding request.

We had long discussions about how one would divide up the world of cataloging responsibility. This included such areas as subject, language, by item received, and finally we made the decision at this past meeting that the cataloging responsibility would take place during the initial stages and perhaps during the entire pilot by the cataloging strengths of the pilot participants.

We recognize that the costs to provide a national-level record are high, and the Library of Congress is committed to trying to reduce that cost. One of the things that we are doing is traveling to the people that are presently inputting bibliographic records to LC--namely, Chicago and Harvard--and also to several of the NACO libraries to look at their procedures. We believe that we have to normalize costs. We cannot necessarily talk about dollar values because salaries and procedures are different. But if we can determine why it costs more to input a record to the Library of Congress than it does, for example, to OCLC, we will have made a significant achievement.

For example, one of the first things we found out is that participating organizations are doing a substantial amount of quality checking before they send their records to LC. Then we get the records and we go through the whole quality checking procedure again. This checking is very costly to both LC and the participant libraries. There are many items like this that we have discovered.

We have taken two trips to date--to Harvard and to Chicago--and they have been most helpful. LC is also investigating a method of paying for contributions made by these libraries as a contribution to the Library of Congress and to the nation's libraries. Whether this will be possible or not, and how to do it, is too early to know, but I wanted you to know that we are investigating this also.

There is not really much more to report. Several of the members of the group are in the room; perhaps they can think of something else to add. There were two meetings this past week at LC, one of the steering committee and a two-day meeting of the operations planning group. To the best of my knowledge, everybody left the room feeling encouraged and happy and hopeful. I believe we will have a significant program if we can get it going.

Thank you.

Report from the Council on Library Resources

MS. WOODSWORTH: Thank you very much.

I would now like to call on Jim Haas to give us a report from the Council on Library Resources.

MR. HAAS: I have been asked to talk specifically about the Commission on Preservation and Access. We made a brief report to you at the May 1986 ARL Meeting about plans for the Commission, too.

The Commission has been established. Its purpose is not to assume responsibility for the preservation of brittle books, but to help all those libraries and organizations engaged in that activity, because it looks like we must preserve something like three or four million volumes over the next two decades. Translated to dollars, that is $100 to $200 million. It is really a matter of multiplying by 10 or 15 the current level of activity, and the Commission's objective and its purpose for being is to help that process along. The intent of the enterprise is to create a new national library of preserved materials, wherever those materials are.

The members of the commission, just to remind you again, are Sidney Verba, Harvard University; Penny Abell, Yale University; Jim Govan, University of North Carolina; Bill Welsh, Library of Congress; Vartan Gregorian, New York Public Library; Herbert Bailey, who has just completed a long career as Director of the Princeton University Press; Kenneth Gros Louis, Provost/Vice President of Indiana University; Carole Huxley, Deputy Commissioner for Cultural Education, New York State Department of Education; and Bill Frye, Vice President for Research and Dean of the Graduate School at Emory University, who is the chairman of the commission.

The commission, as you may know, has had a search committee at work trying to identify a director, and that work continues. We expect that our experience over the next few months will, in a sense, permit a better description and a better understanding of what the commission is, and the commission itself will have a better sense of what it is needed in a director.

But I do want to report we have just hired Peter Winterble as the first staff member of the commission. Peter is currently Director of Budget and Strategic Planning for the National Trust for Historic Preservation, which you will find a useful analogy. The building we are in actually is owned by the National Trust. It also houses the Nature Conservancy, so at some point in time this is going to become clearly the hotbed of preservation. We will preserve anything.

Peter brings a number of talents, and I am going to mention them because, in a sense, they complement the kinds of talents we have, and doing this might give you some sense of what we see as part of the enterprise. He started out his career as a newspaper man, a reporter for The Washington Post and The Philadelphia Enquirer. His field now is financial planning and analysis of budget variance. He has gone through several programs at the Wharton School. He is experienced in preparing legislative programs. He has been trained in theological matters and actually was director of an Episcopal church here in Washington for a decade--we believe that theological training is not all that inappropriate for preservation. Finally, and probably most important, he is a glider pilot. As you know, a glider is a device for converting hot air to forward movement.

I have been in preservation, talking about it, for 30 years and there is probably a message there for me. I will not go into a lot of detail, but I just want to give you a quick snapshot of the things that are under way. Paul Kantor has just finished a study on behalf of the commission looking at costs of microfilming. He actually went to four or five institutions and looked at costs in great detail. That report is at the printer's and will be mailed to everyone here in the next couple of weeks. His message is that, by and large, costs can be reduced probably by 10%, on average, by just refining procedural matters. He also notes that about 35% of cost goes to administration and record-keeping in microfilming.

Bob Hayes is about halfway through a very complex and important piece of work, looking at collection overlap. He is attempting to put some firm numbers on the nature of the brittle books problem. He is working simultaneously with faculty members and librarians in each of a set of sample institutions to build some kind of a link in our minds and his between the perceptions of the brittle books problem and the reality of it, and also paying a great deal of attention to the expectations of the faculties and the disciplines for that work.

Martin Cummings has just finished a quick analysis of preservation research activity in each of the national libraries: the National Agricultural Library, the National Library of Medicine, the Library of Congress, and the National Archives. Out of that has grown a commitment by those institutions to talk together more than they may have in the past. A first meeting was held at the Library of Congress. A second one is scheduled for the National Library of Medicine. The intent here is to make certain that in the research activity pertinent to preservation, especially on the technology side, the right hand knows what the left hand is doing.

We are also looking again carefully at reprinting. The technology seems to have changed and there is a growing conviction that for certain categories of materials, reprinting, possibly on acid-free paper this time around, might well be an appropriate solution for a portion of the books.

I would underscore that the name of the commission is Preservation and Access, and the matter of access, I believe will be driving the enterprise and, in the end, it is going to justify that cost.

I have told you before that a film on preservation is in the works for public television. The filming has been completed; the editing process is under way. The national contest we held to identify the appropriate person to be the narrator is not yet fully resolved, but we have decided to stay away from all of the Hollywood types. Among the people, just for your information, that we are considering and will probably open discussion with are people like Robert McNeil, who is doing so well currently with "The Story of English" on television, Bill Moyers, possibly someone like Alistair Cooke, rather than Dustin Hoffman or Vanessa Redgrave. (My candidate was Senator Pepper, but I lost.)

Another example. The Library of Congress has taken the leadership in bringing together people to talk about incorporating preservation data into the MARC format. NISO, the standards organization, as you know, has taken a lead growing out of work done in the past few years on paper, and that standard is established. I have been told more and more books are showing up with the legend for acid-free paper. I understand there has also been some discussion between NISO and LC about monitoring incoming current publications. That may produce some kind of a record of books processed through LC that are on permanent and durable paper, so that over time we can look at trend lines in this area. I know several major mills are now producing acid-free paper. We have just funded a project in NISO to look at permanence and durability in binding, and I believe that work is about to begin on coated paper.

Finally, let me concentrate on where we intend to go in the next two or three months. I have agreed to be a *de facto* director of the commission until that position is filled. What we intend to do over the next three or four or five months is, first of all, turn *Brittle Books*, that book you have all had copies of, into an actual operating plan. It is really an agenda for the commission and now we are going to convert it to a detailed plan of action and begin to implement it. We are going to review microfilming capacities in a limited number of libraries to get down to brass tacks on what the capacity is to do brittle books work, with the idea of whether we need to add more capacity; if so, where. We intend to undertake further fact-finding work of the kind I have mentioned for the purposes of planning, and a major expansion of information activities. There is a large number of people out there interested and actively involved, in one aspect or another, of preservation. That is where Peter's experience in the newspaper business is going to be useful, because he is going to become an important factor in this business of setting communications on a much different level than they have been.

The advisory council that was established, the National Advisory Council on Preservation, includes about 15 organizations that are committed to being a part of these efforts. The first meeting is scheduled tentatively for February at the Library of Congress, where they will get the first showing of the film.

That is it, briefly.

President's Report

MS. WOODSWORTH: It is my responsibility to give you some sort of President's report. Since Shirley's report to you was very comprehensive, and since the reports of activities have gone to you regularly through the year through the *ARL Newsletter*, I do not intend to repeat everything that has happened in the Association in the past year.

I would like to touch on a few highlights that have not been mentioned specifically at this meeting. For example, the revised Plan of Action has been mailed to you. This was an effort on the part of staff to respond to complaints from members that they could not put all the pieces together. We would appreciate having a reaction to see if this is an improvement. We believe, at least among the Board, that it is an improvement and it does highlight and clarify where we are and where we are going.

The past year has not been an inactive one, from my point of view. Two very successful task forces have been established: the President's Task Force on Membership Criteria, and the Task Force on Government Information in Electronic Format, chaired by Kaye Gapen. Kaye gave the Board a detailed report a couple of days ago, and it sounds like the task force's products and emphasis will be very fruitful and may conclude in a May 1987 program meeting on that subject.

The Executive Committee has been finding its role as a finance committee over the past year and has begun to establish a schedule for review of fiscal policies and investment vehicles. At the same time, we have also begun to look at the personnel policies for the staff of the Association. For example, this past year has also been the first year of the operation of a salary plan for the Association staff, and the Board reviewed the impact of the first year at this week's meeting. Also, something that has been long promised and long under development has been formulation of a contract for the Executive Director, and we believe that that is nearing conclusion as well.

The Board has begun to develop a research agenda and met with committee and task force chairs this week to discuss that agenda, to ask for their further thoughts, to ask about the impact of that plan on their activities, and vice versa. We also tried to get the task force and committee chairs to give us some indication of their future activities and the impact of those on the support provided by the office staff. Most of the committees indicated that they saw an increased level of activity in the future.

I will not bore you with what kind of impact it has had on me personally to answer your fan mail, but a fair number of you have written me on issues that have bothered you, such as the index and retrospective conversion. It has been probably one of the more interesting years that any president could have had. I do have some comments on that for Ted Johnson, by way of personal advice to him, but that is just before I turn over the gavel. Before I do so, is there any other business to come before the Association? If not, I will give just a few personal words.

I was tempted to try to say something about what the role of a president of an Association like this means, but then when I started to think about what my predecessors have said at this particular moment in the meeting, I realized that most of them cannot wait to get out of this spot, and thus say very little. Reflecting on that, I decided it is probably a conspiracy of silence because if we really told you what it was all about, no one would ever want to be president. Most people do say it has been a pleasure, but I read something recently that I wanted to share with you about that little trite phrase. It went along these lines: To a Martian observer, committee meetings look a great deal like a sexual encounter. There is a great deal of unrelated and trivial conversation before a brief burst of activity. Participants are apt to plead excuses like having a headache. Afterwards, expressions of mutual pleasure are exchanged, whether true or not. (This was in a publication that is aimed at administrators in higher education.)

It has been a pleasure to serve you as president. But I am glad that we are not much more active than we are because it would take its toll. I have had to do some rapid learning in the last day or two. While I have not found it a pleasure in the sense that the Martian might have observed, to leave without saying thanks to staff and thanks to the Board would be negligent on my part.

MS. WOODSWORTH: In closing, I have some words of advice for Ted in the years ahead, and if he would like to come up here, I would like to turn over not only the gavel to him, but also some other essential tools of the trade.

With the gavel goes a note that says I am passing the buck.

MR. JOHNSON: That is what it says.

MS. WOODSWORTH: And then there is a recently acquired copy of Robert's Rules of Order. Good luck.

MR. JOHNSON: Thank you. Let me take a few minutes to add a couple of comments and to say a couple of words of recognition as well. Anne mentioned our very, very hard-working staff and I believe we do not pay that much attention to them, except when we are really bothering them with problems and issues and questions, and why can they not do this faster, and what have you. So let me ask both the ARL office staff and the OMS staff to stand up, and let us give them a round of applause.

I would also like to recognize and thank the retiring Board members. We have three people that will be stepping down from the Board as this meeting closes: Richard Talbot, our past President, Graham Hill, and David Laird.

We also have to give special thanks to our outgoing President, almost immediate past President, but not quite yet.

It has been interesting this year to serve as Vice President/President-Elect, and I have been busy watching and observing Anne and how she does things. She has been a marvelous teacher in a whole host of ways. I have learned, among other things, that I must be an avid user of e-mail, and I am going to have to check my messages every two hours. I have also watched her considerable skills in conducting meetings and involving people in processes, in helping to steer folks deftly through very difficult shoals of parliamentary procedure, and I thank you very much for the book.

Anne, we would like to give to you very special thanks for your leadership, for your particular interest, in fostering communication and dialogue, which has been marvelous, and which I would hope to continue. So, I would like to present you with the ARL rose. Anne, thank you very much.

If there is no other business or any other announcements, let me thank all of you for coming and for your wonderful participation. I declare the 109th membership meeting adjourned.

APPENDIX A

THE NORTH AMERICAN COLLECTIONS INVENTORY PROJECT (NCIP): HISTORY, STATUS, AND FUTURE

The Association of Research Libraries, working with the Research Libraries Group, Inc., began the North American Collections Inventory (NCIP) in July, 1983 as a cooperative effort to develop an on-line inventory of research library collections. Intended to include data describing collections from throughout the United States and Canada, it is hoped that the inventory will strengthen coordinated management of national research collections and help to determine shared responsibilities for these vital resources.

Background and History

In 1982, the ARL Committee on Collection Development tested the RLG Conspectus methodology in five libraries and determined that it could serve as the basis for a standardized approach to collection description and assessment and that funding should be sought to support the development of an inventory of research library collections in North America.

The resulting project uses the Conspectus methodology for collection assessment and description to provide information about existing collection levels and current collection policies. The resulting inventory of research libraries' collecting patterns is arranged by subject divisions within the framework of the Library of Congress classification and uses detailed subject descriptors. Participating libraries assign standard codes to indicate the language and the level (i.e. depth) of coverage for some 7000 specific subjects. The data are then entered into the RLG Conspectus On-line and are available in printed form as well as on-line.

NCIP is being managed by ARL's Office of Management Studies and is currently in its third phase. The first phase (July - December, 1983), funded by the Council on Library Resources, Inc., included the development of a detailed manual and training resources and methodologies. Also during this phase, ARL and RLG developed guidelines, procedures, and a pricing structure for adding data to the Conspectus On-line.

The second phase (calendar 1984) was funded by the Lilly Endowment and provided for tests and further development of project manuals and training materials in the three ARL libraries in Indiana (Indiana University, University of Notre Dame, and Purdue University). The third phase, supported by the Andrew Mellon Foundation, began in July 1985 and is directed toward implementing NCIP throughout North America. Planning procedures, manuals, training, and supporting documentation are being provided to project participants by the OMS, basic Conspectus tools are being developed and/or refined by collection development librarians working with the OMS and the RLG Task Force on Conspectus Analysis, and libraries' data are being added to the Conspectus On-line.

Status of the Project: October 1986

- Approximately 85% of the ARL membership is participating in NCIP or plans to begin participation in the near future. In some instances participation has been organized on a regional basis.

- OMS staff have trained 18 collection development staff from member libraries to provide assistance to participating libraries. Available assistance includes both project planning and staff training, and is available from these trained specialists as well as from OMS staff.

- Four regional NCIP workshops have been carried out for members of the Canadian Association of Research Libraries, which is working with the National Library of Canada to develop a Canadian Collections Inventory in addition to participation in the North American Inventory.

- The National Library of Canada has begun development of system software for the Canadian Collections Inventory.

- Training has been provided to staffs of 40 non-RLG members of ARL and those libraries have begun to complete divisions of the Conspectus.

- NCIP NEWS, a project newsletter, began publication in January 1986.

- Revisions to worksheets and development of Supplementary Guidelines for all subject divisions of the Conspectus have been scheduled for completion in the Fall of 1987.

- The OMS is serving as distributor for Conspectus materials for non-RLG libraries.

Uses and Benefits of the Conspectus

Responses to a recent survey of ARL libraries included the following examples of actual uses and benefits derived from completing major divisions of the Conspectus. Many of these benefits are local in nature, that is, they accrue to the individual library (or librarian) as more or less immediate benefits. There are, however, examples cited of cooperative decisions and plans which have been made possible through the existence of comparative Conspectus data from several libraries. Examples of uses and benefits identified in the survey include:

- support for cooperative initiatives within a state or region for developing and maintaining research collections;

- training for collection development staff in collection evaluation and drafting of collection policies;

- informing faculty of relative collection strengths;

- support for library budget requests to administrations;

- support for internal library allocation decisions;
- a management tool for the coordination and presentation of policy;
- method for strengthening communication among colleagues on other campuses in the state system;
- support for grant proposals;
- description of library collections to administrators and prospective new faculty;
- assessment of library needs in supporting new programs;
- help in identifying preservation priorities;
- producing printouts describing other libraries' collections for faculty travel;
- assistance in locating items for ILL not in the bibliographic database.

Current Concerns

To date the emphasis of the North American Collections Inventory Project has been on preparing the tools and resources needed by libraries and their staffs to participate in the project. As the number of participating libraries grows and the collections inventory becomes more inclusive, several of the project's original goals are forcing consideration of some major issues, including:

- What organizational bodies exist, or need to be developed, to identify national or regional collection deficiencies and to develop strategies to strengthen North America's research resources?
- Can the Inventory be used to assist in making cooperative decisions in the areas of preservation, cataloging, and retrospective conversion? What needs to be done to facilitate that use?
- What kinds of educational and/or promotional information could assist libraries and their users in effectively using the Inventory?
- What is the appropriate role of the scholarly community in determining or influencing the development and uses of the Inventory? And, similarly, what can research libraries do to shape that role?
- What potential is there for regional collections inventories which might include data from smaller, non-research libraries? What can and should ARL do to assist these efforts?
- What technical support would be useful to facilitate use of Conspectus data in local online systems?

APPENDIX B

RESOURCES AND TOOLS AVAILABLE TO PARTICIPANTS IN NCIP

Conspectus Materials

Worksheets. The Conspectus worksheets are the primary instrument for reporting the results of libraries' assessments of their collections. With minor exceptions, worksheets are available for all fields of knowledge and currently cover 23 divisions covering close to 7,000 subject descriptors.

Supplementary guidelines. Subject specific guidelines have been developed to respond to the need for standardized approaches and assessment tools. They provide an overview of the nature of the subject and its literature and suggest appropriate standard guides, bibliographies, and periodical indexes for approaching the collection assessment. The standard collecting level definitions are expanded to indicate benchmarks or percentages of holdings for the subject from the suggested tools.

Verification studies. Verification studies are comparative collection evaluation studies that allow participating libraries to test the accuracy of their collection assessments. They focus on testing a specified segment of the Conspectus and use specially designed, statistically valid lists derived from the "universe" of research literature. Verification studies have two advantages: they provide a standard approach to assessing particular segments of the Conspectus; and they offer comparative data from participant libraries.

Documentation

Manual for the North American Inventory of Research Collections. Prepared by Jutta Reed-Scott. Washington, D.C.: Association of Research Libraries, Office of Management Studies, 1985.

The manual serves as a handbook for planning libraries' collection assessments and provides detailed procedural and technical information. It also discusses several approaches to collection assessments and deals with issues and questions relating to the Conspectus methodology.

Access to NCIP Data

Access to NCIP data is through the Conspectus On-line. The Conspectus database is mounted on the Research Libraries Information Network (RLIN) and currently contains collection descriptions of collections of RLG libraries, the Library of Congress, and other ARL libraries, including Indiana, Louisiana State, and Purdue Universities, the University of California system libraries, and the Universities of Notre Dame and Virginia. Libraries participating in NCIP submit their completed Conspectus worksheets to RLG for input. Access to the Conspectus

On-line is available to NCIP participants through dial-up and an RLIN search account.

The Conspectus On-line supports searching by subject words and phrases, institutions, Library of Congress classification numbers, and collection intensity levels.

Printouts of the data for each contributing library or for groups of institutions are also available.

Communication

NCIP News. This publication is prepared by ARL's Office of Management Studies and reports activities and developments within NCIP.

Training and Staffing

NCIP staff at the Office of Management Studies. The NCIP project is managed by Jeffrey Gardner, OMS Associate Director, and Jutta Reed-Scott, OMS Collection Development Specialist.

NCIP consultants. Eighteen OMS trained collection development librarians are available to assist research libraries in planning and organizing the Conspectus projects and to train local library staff in completing the Conspectus.

NCIP Advisory Committee

The NCIP Advisory Committee advises project staff on project priorities and schedules and reviews project results. Members of the committee include: David Farrell, Indiana University Libraries; Sarah How, Research Libraries Group; Paul Mosher, Stanford University Libraries; Susan Nutter, Massachusetts Institute of Technology Libraries; Elaine Sloan, Indiana University Libraries; David Stam, Syracuse University Libraries; and Mary Jane Starr, National Library of Canada.

Bibliography of Selected Articles and Reports

Farrell, David "The North American Collections Inventory Project (NCIP): 1984 Phase II Results in Indiana," Resource Sharing and Information Networks 2 (Spring/Summer 1985): 37-48.

Gwinn, Nancy E. and Mosher, Paul H. "Coordinating Collection Development: The RLG Conspectus," College & Research Libraries 44 (March 1983): 128-140.

Mosher, Paul H. "A National Scheme for Collaboration in Collection Development: The RLG-NCIP Effort," Resource Sharing and Information Networks 2 (Spring/Summer 1985): 21-35.

North American Collections Inventory Project: Phase II - January-December 1984. Association of Research Libraries, Office of Management Studies, 1985.

APPENDIX C

ACTIVITIES AND STATUS REPORT

Association of Research Libraries
May-October, 1986

Legislative Activities

At long last, legislation to reauthorize the Higher Education Act was adopted by Congress and is expected to be signed by the President. Library provisions in Title II and VI of the revised HEA include those recommended jointly by ARL and ALA. Funding authorized for library programs in both titles amounts to $31 million for FY 1987.

The Title II-C program was reauthorized at $10 million for FY 1987 with "such sums as necessary" for the years 1988-1991. The language of II-C was amended by adding a new subsection addressing eligibility for assistance under this provision of the law. The new provision reads: "In determining eligibility for assistance under this part, the Secretary [of Education] shall permit institutions that do not otherwise qualify to provide additional information or documents to demonstrate the national or international significance for scholarly research of the particular collection described in the grant proposal." This provision was offered by ARL last October as a substitute for language that would have automatically qualified one academic library in every state.

Eleven ARL directors wrote and/or called Members of Congress involved with the conference committee negotiations over the summer months and helped to ensure that the library programs were maintained and strengthened in the final legislation.

Opportunities to comment on the federal budget and on specific agency appropriations present themselves all year long. Shortly after the ARL Membership Meeting in Minneapolis, I testified before the Joint Committee on the Library on the impact of the budget cut and the sequestration of funds on operations of the Library of Congress. Drawing on examples and anecdotal evidence from a number of ARL members, my statement emphasized the dependence of research libraries on the acquisition, cataloging and preservation programs of the Library. In mid May, as the House of Representatives considered an overall budget resolution for FY 1987, I wrote on behalf of ARL to each Member of the House asking for support of the plan proposed by the House Budget Committee. We joined with other education associations in supporting this budget plan as it recognized library and education programs as a federal budget priority while containing the deficit at a low enough level to avoid further across the board sequestration orders. In addition, fourteen directors contacted their Congressional delegations to argue in favor of a federal budget that establishes libraries and education as a priority.

NTIS: ARL and seventeen member libraries submitted written comments to the

Department of Commerce opposing an Office of Management and Budget proposal to privatize the National Technical Information Service. James Wyatt, Chair of the ARL Committee on Government Policies, spoke on behalf of ARL at a public meeting on the proposal; in addition, seven other member libraries were represented at the meeting.

GPO: In September, the Government Printing Office announced plans to save money by ceasing distribution to depository libraries of paper copies of almost all Congressional publications including the Congressional Record, the Federal Register, and other key titles. On behalf of ARL, I wrote to the Public Printer about the negative impact of this decision on depository libraries. All U.S. ARL members were alerted to the plan and encouraged to contact GPO and Members of Congress to protest this move. Implementation of the plan has been postponed by GPO's oversight committee, the Joint Committee on Printing (JCP), until GPO demonstrates that such a move is justified given their appropriations for FY 1987.

Propitiously, as the GPO proposed more and more microfiche for the depository program, the ARL Task Force on Government Information in Electronic Format began meeting to address issues raised when considering library access to government information in electronic formats, including the encouragement of proposed pilot projects for dissemination of electronic information to depository libraries. Chaired by Kaye Gapen, the Task Force has been invited to meet with a JCP advisory committee to provide advice on criteria for two activities associated with the pilot projects: the identification of libraries to participate as test sites in pilot projects, and the evaluation of pilot projects. This meeting will take place on October 30.

Coalition on Government Information: ARL has been invited to join the Coalition on Government Information. The coalition, composed of twenty organizations, was initiated by the American Library Association and has as its goal the focusing of national attention on all efforts to limit access to government information and the development of support for improvements in access to government information. Jaia Barrett, ARL Federal Relations Program Officer, is representing ARL on the coalition steering committee during the organizational period. When the coalition's organizational structure and proposals for financing its activities have been clarified, a formal proposal for participation will be presented to the ARL Board of Directors.

Review of Copyright Law, Section 108: The Copyright Office is preparing for its second five-year review of the library photocopying provisions of the Copyright Law. Their report is due on January 1, 1988. In September, I met with Ralph Oman, Register of Copyright, and several senior members of his staff to discuss what form this review will take, how ARL might assist in the review process, and what kind of information the Copyright Office will seek from libraries and publishers regarding compliance issues. Mr. Oman assured me that he does not intend to conduct this review in a manner similar to that undertaken for the 1983 report. Instead, the Copyright Office will hold one or two days of hearings next spring at which interested parties will be invited to present their views. These may be followed by a short, simple survey which will seek experiential information from parties affected by the law.

An outline of the issues and questions being explored by the Copyright Office will be considered by the ARL Committee on Government Policies and the Task Force on Government Information in Electronic Format. Preliminary comments resulting from their discussions will be compiled in November; further comments will be sought from ARL libraries shortly thereafter.

No progress has been made in regard to the issue of discriminatory pricing to North American libraries by foreign journal publishers. It is our understanding that one group of academic libraries has been advised by legal counsel that it would be useful to scrutinize the conduct of foreign publishers to ascertain if there is anything illegal in their present pricing policies. ARL's legal counsel has expressed an opinion informally, but is studying the matter further. ARL staff will continue to pursue this issue, and will report to the membership if any new avenues of action or insights appear that may prove useful. Efforts to discuss the issue with the Office of the International Trade Representative (U.S.) have not proved fruitful.

In the meantime, we have received information from several members on the effect that the increased price of foreign journals is having on their budgets and would appreciate hearing from other members who have compiled these figures.

Projects and Programs

The ARL Recon Project: Fifteen months have elapsed since the ARL Recon Project was launched in July of 1985. During that period, seven coordinated projects commenced and planning proceeded for collaborative projects in four priority areas. In addition to assisting libraries in developing plans for coordinated retrospective conversion projects, efforts in the past months have focused on establishing the Recon clearinghouse at ARL. Design and data input have been completed. Libraries seeking information about projects that have been reported to the ARL Recon Project should contact Jutta Reed-Scott.

Detailed information on the first year of the Project may be found in the Report on the ARL Recon Project, July 1985-1986. This report summarizes activities for the first year of operation and provides information for the evaluation of the pilot phase. A copy of the report was mailed to ARL directors as background information for the discussion at the October Business Meeting.

The CONSER A&I Project: The CONSER Abstracting and Indexing (A&I) Coverage Project has been completed. Funding for this project was provided by the National Endowment for the Humanities, the Council on Library Resources, the H.W. Wilson Foundation, the Xerox Corporation, and the Faxon Company. The project added over 130,000 notes (in MARC field 510) to just under 50,000 unique bibliographic records. These titles represent the core materials needed to support the majority of serial information requests by library patrons. The records were enhanced with their ISSN, key titles, and abbreviated key titles. The enhanced records have been authenticated and distributed through MARC-Serials and the A&I services have received the standardized information and library entries to use in subsequent production of their title coverage lists. Maintenance procedures have been established, with coordination through the National Serials Data Program.

ARL libraries both contributed to and benefited from the project. The contribution was surrogates (title page substitutes) to support the record enhancement and authentication. The benefits are a cleaner, more complete, CONSER database; identification of core titles; and improved citations by A&I services. The project has achieved its major goal to provide a link between library catalogs with A&I citations. Julia Blixrud, who served as Project Coordinator, is now Head of the National Serials Data Program at L.C. Copies of the final report are available from the ARL Office.

NRMM Project: The ARL/LC cooperative effort to convert the monographic records in the National Register of Microfilm Masters (NRMM) is well underway. This is a three-year project with funding from NEH and the Mellon Foundation. ARL and LC have signed an agreement detailing the responsibilities of each organization in regard to this project, and an RFP for the conversion work is nearly complete.

As a next step in implementation, libraries and other contributors of records to the NRMM Master File are being informed about the project's goals and objectives, and will be given an opportunity to express any objections they may have to having their contributed records converted as part of the project. It is to be hoped that few, if any, objections will be received; those that are will be negotiated on an individual basis. Record conversion is expected to begin during the first quarter of next year.

CCRM: As I reported last May, the Center for Chinese Research Materials has been unable to find foundation support to continue its program of bibliographic service and republishing. The CCRM Advisory Committee, chaired by Eugene Wu of the Harvard-Yenching Library, and the Director of CCRM, Pingfeng Chi, decided in June to attempt to maintain a minimum service for scholars rather than close the Center down altogether. Accordingly, CCRM has now been incorporated as an independent organization, non-profit tax status has been applied for, the staff has been cut to one person from 4.5, and the organization has been moved to smaller quarters in Virginia. As of October 1, 1986, the formal relationship between ARL and the Center for Chinese Research Materials has been severed. The future of CCRM is still much in doubt and the perseverence of its director and new Board of Trustees are examples of dedication to scholarship that China scholars and East Asian librarians alike should appreciate greatly.

NCIP: Since the program of this meeting will be wholly devoted to a review of the North American Collections Inventory Project, I shall not report separately on the project.

The Institute for Library Educators: Ten library school faculty members participated in the second ARL Institute on Research Libraries for Library and Information Science Faculty held on the MIT campus July 27-August 8. The institute, sponsored by a grant from the Council on Library Resources, examined developments in research libraries that have an impact on the preparation of professional librarians. Boston Public Library, and the libraries of MIT, Harvard and Boston University participated by providing group briefings on operations and activities. This institute, like its 1984 predecessor, received high ratings from participants as a contribution toward influencing the educational process of potential research librarians. Those ARL directors who contributed to the institutes by hosting field visits, holding briefing sessions, and participating in the seminars deserve the gratitude of all ARL members.

Member Relations: Since my last report to the membership, I've visited the following ARL members: the University of Oregon (May), Case Western Reserve University and the Universities of Nebraska and Oklahoma (September), and the University of Connecticut (October). These visits continue to give me the opportunity to share information about the Association's activities and priorities with library staff members and with university faculty and administrators, and to learn more about major issues and concerns at the members institutions. A visit to Indiana University is scheduled for mid-November.

Shirley Echelman
Executive Director
October 15, 1986

APPENDIX D

OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES
1527 New Hampshire Avenue N.W., Washington, D.C. 20036 • (202) 232-8656

October 7, 1986

To: ARL Board of Directors

From: Office of Management Studies (OMS)

Re: Status of OMS Programs
May 1986 - September 1986

This report is organized around OMS activities in three areas: (I) operation of separately funded projects (II) core programs supported with ARL dues and revenue from sale of services and publications and (III) office administration and assistance provided ARL Committees.

I. Separately Funded and Developmental Projects

Currently the Office has three separately funded projects contributing to the operating budget of the OMS. These funds help to support ARL membership participation in the projects.

A. Program to Support National and Regional Cooperative Collection Development: In June 1984 the Andrew W. Mellon Foundation funded a three year project to continue the work of Phases I and II of the North American Collections Inventory Project (NCIP). The $220,000 grant supports the development of training resources, a materials distribution center, and the support system needed to coordinate the participation of ARL libraries in NCIP.

During the past 6 months regional, 3-day NCIP workshops have been carried out in Halifax and Montreal, and a one-day workshop was carried out for the Canadian Association of Law Libraries. Training has been provided to staffs at several ARL libraries by OMS staff and NCIP Trainers, and a June survey of ARL libraries indicates that over 80% of the membership is either participating or planning to participate in NCIP. The RLG Task Force on Conspectus Analysis has scheduled completion of Supplementary Guidelines for all subject divisions by the Fall of 1987. Current efforts are focused on: providing documentation and training support to participating libraries; scheduling training for libraries interested in beginning the project this year; developing greater understanding of the potential uses of the Conspectus On-line among research libraries and their users; and exploring optional approaches to providing software for local and regional collections inventories.

B. Institute on Research Libraries for Library and Information Science Faculty: A two-week Institute on Research Libraries for Library Science Faculty was conducted by ARL's Office of Management Studies on July 28-August 8, 1986 with sponsorship of a grant of $45,857 from the Council on Library Resources. The purpose of the institute was to enrich library educators' understanding of research library issues and influence the future development of research librarians.

The 1986 Institute was held in Cambridge, Massachusetts hosted by the Massachusetts Institute of Technology and the Simmons School of Library and Information Science. Ten library educators conducted field site visits at ARL institutions and then attended seminar sessions in Boston:

PARTICIPANT Institution	HOST Field Site
Marianne Cooper Queens College	Paul Fasana New York Public Library
William Fisher University of California, Los Angeles	Dorothy Gregor Univeristy of California, San Diego
Ira Harris University of Hawaii at Manoa	Russell Shank University of California, Los Angeles
Doris Clack Florida State University	David Bishop University of Georgia
Pamela Reekes McKirdy Simmons College	Arthur Curley Boston Public Library
James Sweetland University of Wisconsin, Milwaukee	Robert Miller University of Notre Dame
Mary Biggs University of Chicago	John McGowan Northwestern University
Francis Miksa University of Texas, Austin	James Govan University of North Carolina, Chapel Hill
John Hall Drexel University	Donald Koepp Princeton University
Diana Thomas Univ. of California, Los Angeles	Douglas MacInnes University of British Columbia

Another feature of this year's Institute was a series of four case studies involving the research libraries in the Boston area. Senior managers from Harvard University, Boston University, Massachusetts Institute of Technology, and the Boston Public Library provided the faculty with day-long briefings.

C. National Endowment for the Humanities/Preservation Planning Studies: Activities are proceeding as planned for the ten libraries selected to participate in the Preservation Planning Program as part of the two-year demonstration project funded by a $65,375 grant from The National Endowment for the Humanities. Seven libraries - the State University of New York/ Stony Brook, Colorado State University, Center for Research Libraries, Northwestern University, the Smithsonian Institution, the University of Tennessee, Knoxville and the University of Oregon have completed studies, and their final study reports are now available from the OMS. The remaining libraries, Iowa State University, University of Missouri/Columbia and Ohio State University are preparing their final reports. A request to extend the project schedule for completion until December 1986 was approved by the NEH

A supplemental grant of $13,000 was received from NEH to allow design of two new modules for the Preservation Planning Program (User/Staff Education and Institutional Cooperation) and updating of the Preservation Resource Notebook. Staff from ARL member libraries are assisting in these writing projects.

II. Core OMS Programs Supported by Cost Recovery Efforts and the ARL Dues Allotment

There are four on-going programs comprising the core of the OMS efforts: (A) a research and development program intended to design new services and to support research projects, (B) library developmental studies within the Academic Library Program, (C) survey and exchange information on library practices, (Systems and Procedures Exchange Center) and (D) training and staff development support to research libraries. These core programs are supported with fees from the sale of services and an annual allotment from ARL membership dues.

A. Development of new services and sponsored research projects:

o Fretwell/Demographic Study. In this research, we are collecting and improving demographic data related to ARL library staffing patterns in order to help members predict staffing needs. The first phase of looking at staff turnover and gathering date-of-birth data is progressing well.

o Technical Services Study. We are continuing to seek viable funding alternatives.

o Financial Management Skills Institute.

o Managing the Learning Process Institute.

o Management Literature Survey Service.

B. Academic Library Program: During this period, nine self-studies were operational: five collection studies, two public services studies, and two academic library development studies.

The Leadership Development Program is now an on-going part of the Academic Library Program with services available to ARL members from OMS. The model of the program was designed for Yale University to assist in designing commitment to a strategy for future library development among senior management staff at a retreat held in Connecticut on January 5-8, 1986. The design allows for approximately 25 library staff members to meet for 3 1/2 days in a retreat format. Following the Yale project libraries at SUNY/Buffalo, Ohio State University, and The University of Southern California employed the program. Plans are underway to make these resources available to additional ARL members.

C. Systems and Procedures Exchange Center: During this period, four kits were produced: Barcoding of Collections (May), Technical Services Cost Studies (June), Automated Library Systems (July/August), and Interlibrary Loan (September).

The Automation Inventory database was updated by 114 libraries, as compared to 92 in 1985. A new publication was sent to all ARL directors in September.

The Visiting Librarian Program is developing its first publication on reorganization of staff due to automation. B. J. Busch from the University of Alberta is the author.

Four libraries commissioned SPEC to conduct On-Demand Surveys. This service provides ARL members with a way of obtaining specific information from peer groups. The four areas of interest were: freezing the card catalog, building use policies, building space standards, and expenditure categories for membership fees.

D. The Training and Staff Development Program: During the May to September period the following training events were conducted:

- A public Advanced Management Skills Institute - Airlie
- A Management Skills Institute for Assistant/Associate Directors - Annapolis
- A public Analytical Skills Institute - Montreal
- A sponsored Basic Management Skills Institute - Colorado State University
- A sponsored Analytical Skills Institute - University of Florida

- OMS conducted a Management Institute for Assistant/Associate Directors in ARL Libraries on August 24-27, 1986. Patterned after the Management Institute for ARL Directors, this Institute explored three broad themes: strategic planning, organizational change, and the role and use of power and influence in academic and research libraries. The Institute provided a model-based examination of the three management themes, while also providing an opportunity for senior managers from ARL libraries to meet and discuss issues with others who share the common organizational experiences of large academic and research libraries. The 3 1/2-day Institute was held in Annapolis, Md. and attracted 31 participants.

The 1987 schedule of public Management Skills Institutes was announced:

Basic

May 19-22, 1987	Washington, D.C.
October 13-16, 1987	Chicago, Illinois

Advanced

November 8-13, 1987	Phaladelphia, Pennsylvania

Analytical Skills

June 2-5, 1987	Syracuse, New York
December 1-4, 1987	Honolulu, Hawaii

III. OMS Staff Work with ARL Committees

A. ARL Committee on Management of Research Libraries: The committee reviewed OMS program activities at the meeting on April 30, 1986.

B. ARL Collection Management Committee: The committee reviewed progress on the North American Collections Inventory Project which is operated in cooperation with this Committee.

C. ARL Statistics Committee: A SPEC kit on Management Information Inventory and The Automation Inventory are being developed in cooperation with the committee. SPEC and the Committee also are collaborating with a library growth project at Lister Hill Center, NLM, that is investigating library automation expenditures.

D. ARL Preservation Committee: In response to a Preservation Needs survey, the Committee has asked SPEC to assist in gathering and distributing information through SPEC kits and occasional papers to meet expressed needs.

Duane E. Webster

APPENDIX E

ATTENDANCE AT 109th MEMBERSHIP MEETING
Washington, D.C.

October 22-23, 1986

University of Alabama Libraries
  Charles B. Osburn

University of Alberta Library
  Peter Freeman

University of Arizona Library
  W. David Laird

Arizona State University Library
  Dora Biblarz

Boston Public Library
  Arthur Curley

Boston University Library
  Karin Begg

Brigham Young University Library
  Sterling J. Albrecht

University of British Columbia Library
  Douglas McInnes

Brown University Library
  Merrily Taylor

University of California, Berkeley Library
  Joseph Rosenthal

University of California, Davis Library
  Marilyn Sharrow

University of California, Irvine Library
  Calvin J. Boyer

University of California, Los Angeles Library
  Russell Shank

University of California, Riverside Library
  Not Represented

University of California, San Diego Library
  Dorothy Gregor

University of California, Santa Barbara Library
  Cecily Johns

Canada Inst. for Scientific & Technical Info.
  Not Represented

Case Western Reserve University Libraries
  Susan Coté

Center for Research Libraries
  Donald B. Simpson

University of Chicago Library
  Martin D. Runkle

University of Cincinnati Libraries
  Eleanor Heishman

University of Colorado Library
  Clyde Walton

Colorado State University Library
  Joan Chambers

Columbia University Libraries
  Anthony Ferguson

University of Connecticut Library
  Not Represented

Cornell University Libraries
  Not Represented

Dartmouth College Libraries
  Margaret A. Otto

University of Delaware Library
  Susan Brynteson

Duke University Libraries
  Jerry D. Campbell

Emory University Library
  Herbert F. Johnson

University of Florida Libraries
Dale Canelas

Florida State University Library
Charles E. Miller

Georgetown University Library
Joseph E. Jeffs

University of Georgia Libraries
David F. Bishop

Georgia Institute of Technology Library
Miriam Drake

University of Guelph Library
Not Represented

Harvard University Library
Sidney Verba

University of Hawaii Library
John R. Haak

University of Houston Libraries
Robin Downes

Howard University Libraries
Dorothy M. Haith

University of Illinois Library
Carl W. Deal

Indiana University Libraries
Elaine F. Sloan

University of Iowa Libraries
Carl Orgren

Iowa State University Library
Warren B. Kuhn

Johns Hopkins University Library
Susan K. Martin

University of Kansas Library
Clinton Howard

University of Kentucky Libraries
Paul A. Willis

Kent State University Libraries
Don Tolliver

Laval University Library
Claude Bonnelly

Library of Congress
William Welsh

Linda Hall Library
Not Represented

Louisiana State University Library
Sharon Hogan

McGill University Library
Eric Ormsby

McMaster University Library
Graham R. Hill

University of Manitoba Libraries
Not Represented

University of Maryland Library
Not Represented

University of Massachusetts Libraries
Richard J. Talbot

Massachusetts Inst. of Technology Librs.
Susan K. Nutter

University of Miami Library
Frank Rodgers

University of Michigan Library
Richard M. Dougherty

Michigan State University Library
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York University Libraries
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Taylor, Merrily	Brown University Library
Tompkins, Philip	University of Southern California Library
Tolliver, Don	Kent State University Libraries
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Verba, Sidney	Harvard University Library
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Weber, David C.	Stanford University Libraries
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Margaret McConnell, Secretary
Jutta Reed-Scott, Collections Development Specialist, Office of Management Studies and ARL Recon Project Coordinator
Maxine K. Sitts, Information Services Specialist, Office of Management Studies

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Horrell, Jeffrey	Syracuse University-CLR Intern
How, Sarah	Research Libraries Group
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Sittig, William	Library of Congress
Sparks, Peter	Library of Congress
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APPENDIX F

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OCTOBER 1986

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Anita Werling, University Microfilms, Inc.
Research Libraries Group *
Library of Congress *

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Leslie Hume, Research Libraries Group
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APPENDIX G

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Peter Freeman, Librarian
(403) 432-3790

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Tucson, Arizona 85721
W. David Laird, Librarian
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Tempe, Arizona 85281
Donald Riggs, Librarian
(602) 965-3417

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(801) 378-2905

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Vancouver, B.C., Canada V6T 1W5
Douglas McInnes, Librarian
(604) 228-2298

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Providence, Rhode Island 02912
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Berkeley, California 94720
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(415) 642-3773

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Davis, California 95616
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Irvine, California 92713
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Los Angeles, California 90024
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University of Houston Libraries
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Library Affairs
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Library
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John B. Smith, Director & Dean of Lib.
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Syracuse University Libraries
Syracuse, New York 13210
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Nashville, Tennessee 37203
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